The Inspections Process

Inspections Process

References

- **Army Regulation 20-1, Inspector General Activities and Procedures**
- **Army Regulation 1-201, Army Inspection Policy**
- **The Inspections Guide**
- **The Inspections Process Diagram**

The Inspections Process

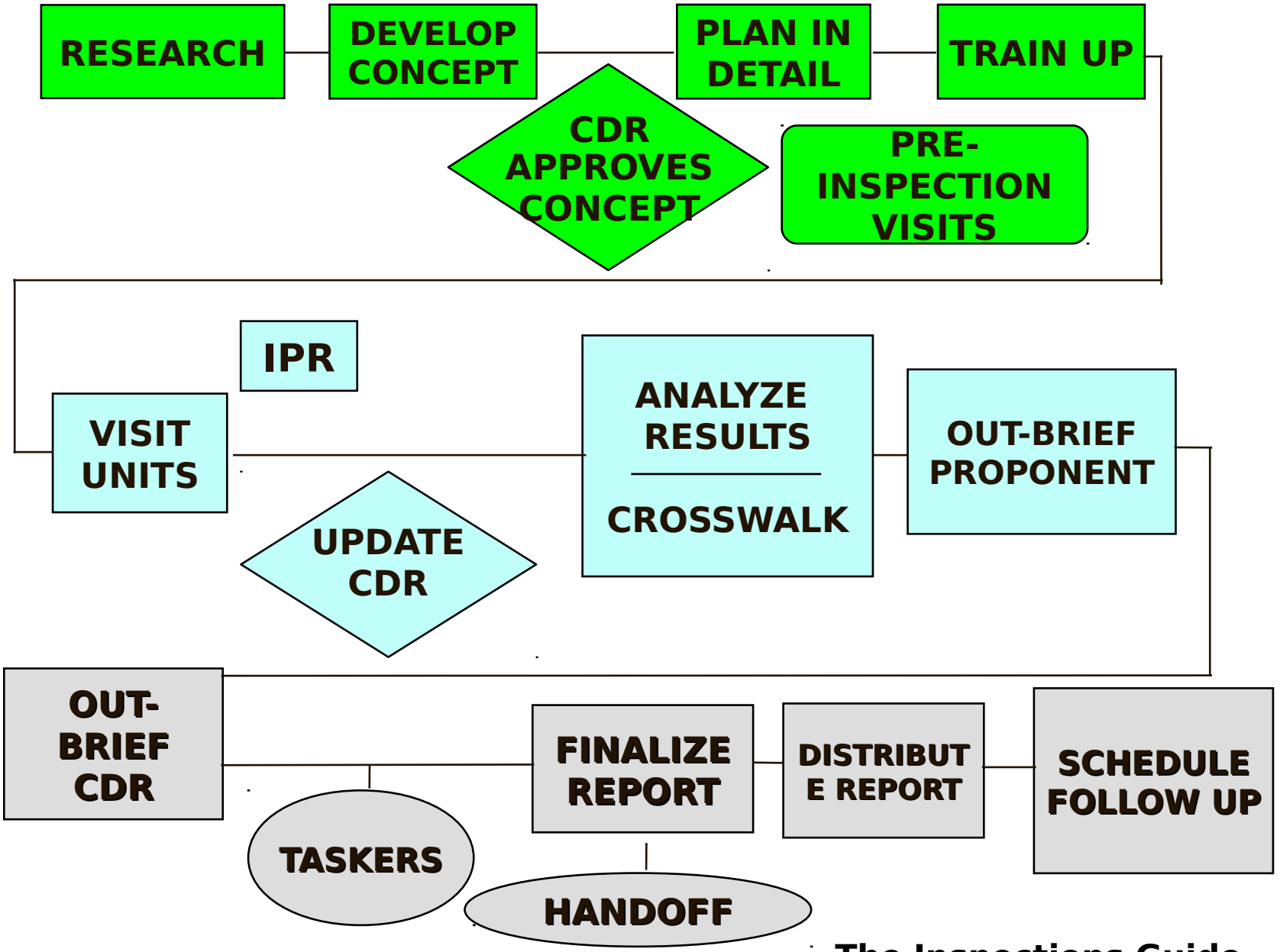
ELO

Three Phases

- **Preparation Phase**
- **Execution Phase**
- **Completion Phase**

The Inspections Guide, Section 4-1, page 4-1-1

The Inspections Process



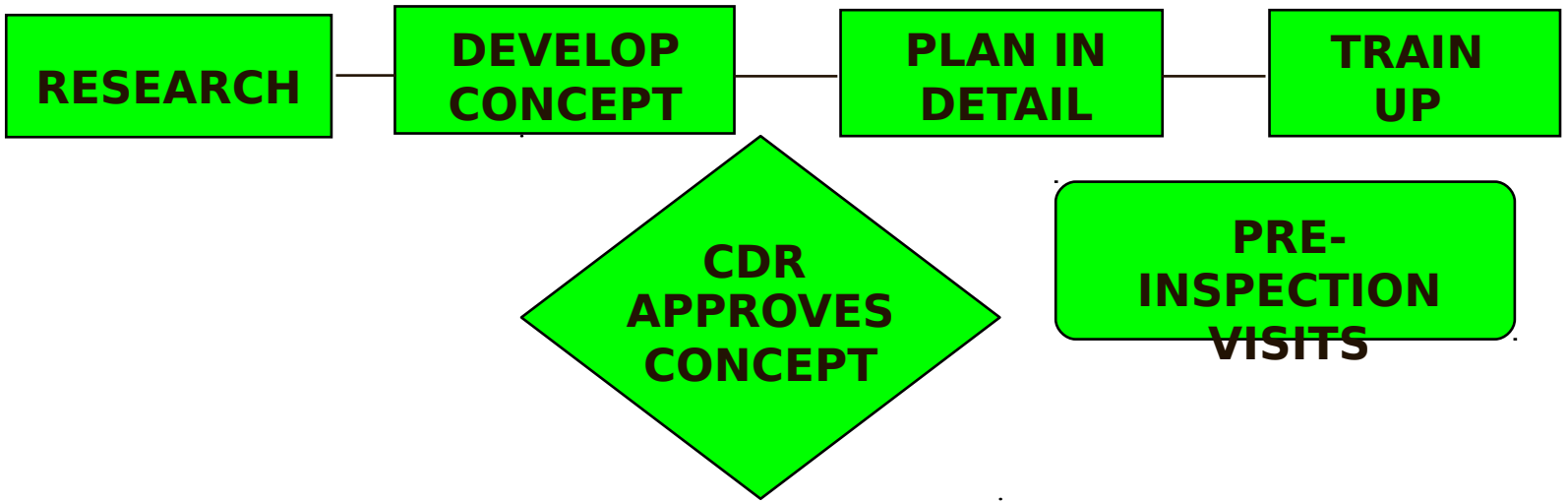
The Inspections Guide,

PREPARATION EXECUTION COMPLETION

The Inspections Process

Inspections Process

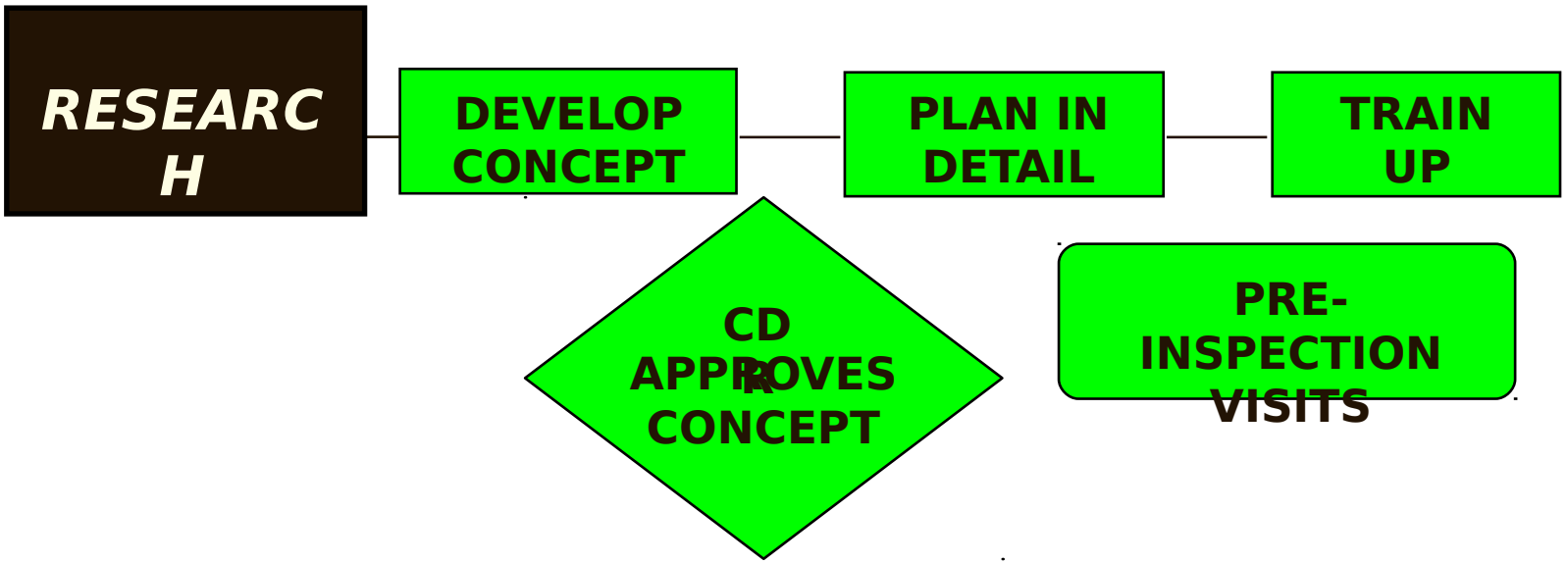
Phase One: The Preparation Phase



Research

Inspections Process

Phase One: The Preparation Phase



The Inspections Guide, Section 4-2, pages 4-2-2 to 4-2-6

Research

Inspections Process

- **Conducting research on the inspection topic is the most important step of the whole inspection.**

- **In order to conduct research successfully, you must . . .**

  - **Consider the commander's (narrows scope) guidance about the topic.**
  - **Consider your IG's guidance.**
  - **Gather all available information on the topic (regulations, field manuals, and so on).**
  - **Study the results of previous IG inspections on the same – or a similar – topic.**
  - **Request a briefing or interview with the topic's proponent or a subject-matter expert.**
  - **Determine what standards apply to the topic.**
  - **Search the Internet for any applicable information on the topic.**

Research
(continued)

Inspections Process

- **Use the information you glean from your research to refine the purpose of the inspection and narrow the scope.**

- **The physical outputs of this step are the Inspection Purpose and the Inspection Objectives.**

- **The Inspection Purpose is a clear statement of the inspection's overarching goal.**

- **The Inspection Objectives are the most important features of the inspection plan because they will drive the information-gathering portion of the inspection.**

  - **An inspection objective should be clear, concise, and capture the essence of what the inspection team wants to learn.**

  - **Develop at least three objectives but no more than five.**

Research
(continued)

- **A sample inspection objective is as follows:**

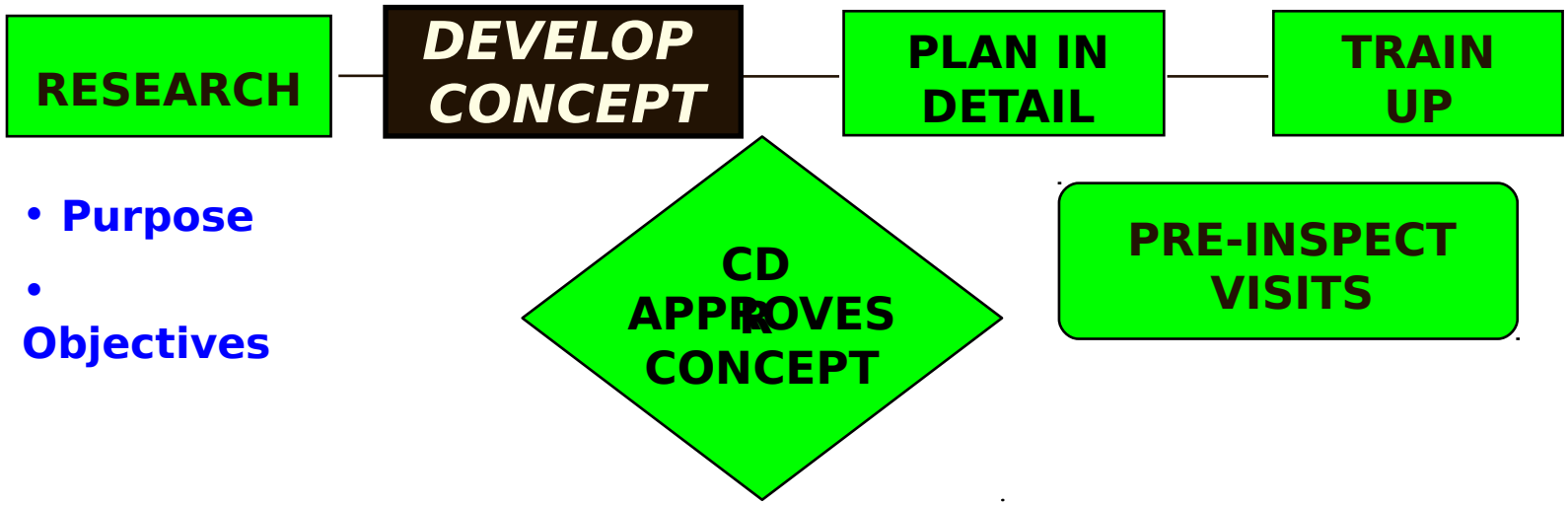
Objective 1: Determine if units within the division are conducting training on the Homosexual Conduct Policy annually in accordance with Army Regulation 350-1, Army Training and Leader Development.

Practical Exercise 1

Develop the Concept

Inspections Process

Phase One: The Preparation Phase



The Inspections Guide, Section 4-2, pages 4-2-7 to 4-2-9

Develop the Concept

- **The inspection concept is the blueprint for your inspection plan and forms the basis of your concept-approval briefing.**

- **The concept is nothing more than a plan that outlines – in general – how the inspection team plans to accomplish the inspection.**

- **The concept plan can take the form of a memorandum or a slide briefing – or both (the physical output of this step).**

Develop the Concept
(continued)

Inspections Process

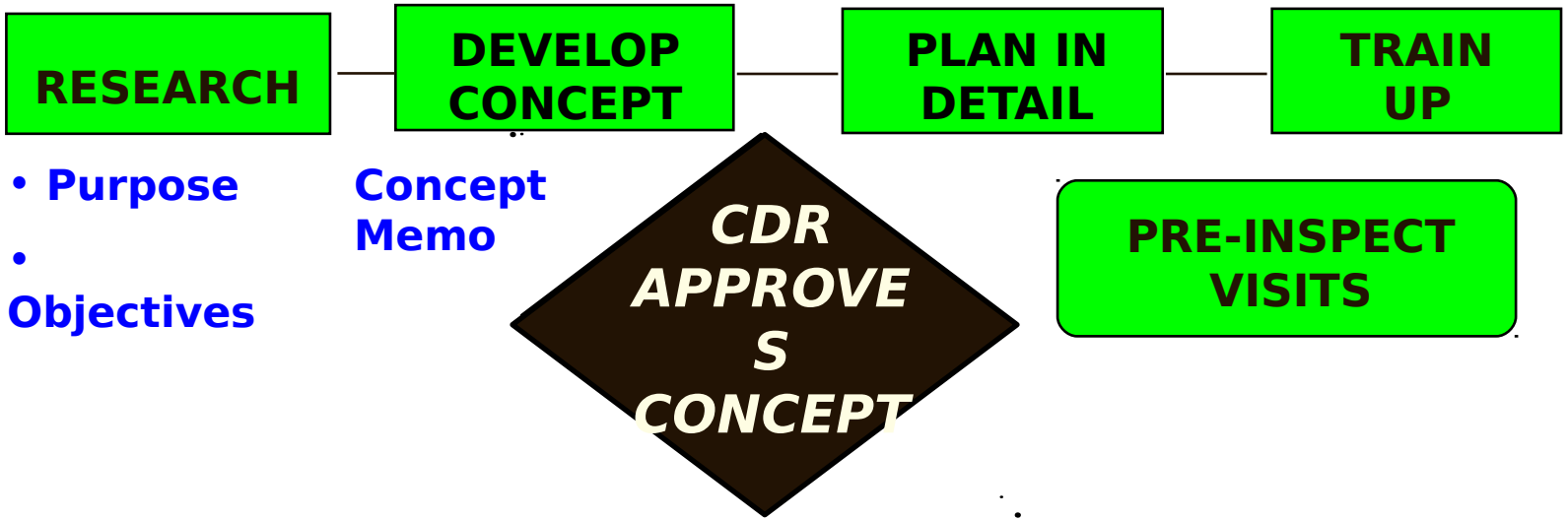
The inspection concept must have – at a minimum – the following items:

- **Inspection Purpose (from the Research step)**
- **Inspection Objectives (from the Research step)**
- **Scope of the Inspection (describes the team's task organization and the unit sampling size)**
- **Focus (a "general" or "special" inspection)**
- **Timing of Feedback (explains when the commander can expect to receive feedback on the inspection)**
- **Timeline (outlines the key milestone dates)**
- **Notification (explains how the inspection teams plan to notify the inspected units – announced or unannounced (not recommended)**

The Commander Approves the Concept

Inspections Process

Phase One: The Preparation Phase



The Inspections Guide, Section 4-2, pages 4-2-10 to 4-2-16

The Commander Approves the Concept

Inspections Process

- **Schedule a time to brief your commander to gain his or her approval of your inspection concept.**

- **Prepare a decision briefing from your Concept Memorandum and follow the same format.**

- **Prepare an Inspection Directive for your commander's signature immediately following the briefing.**

- **The physical output of this step is the one-page Inspection Directive, which should include the following:**

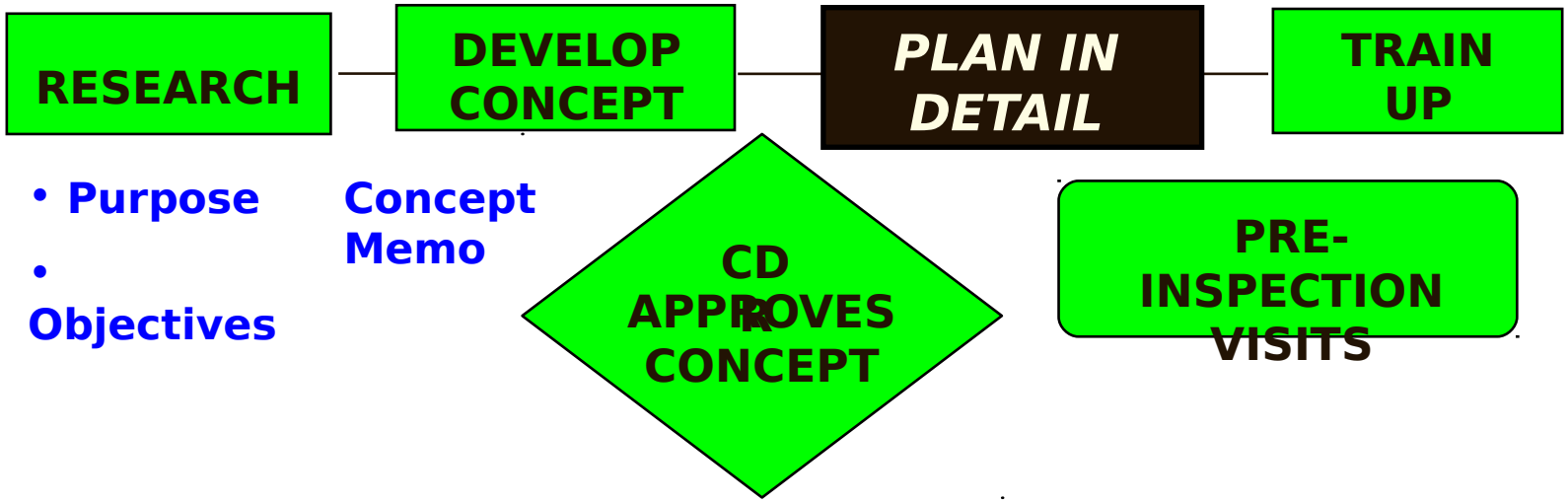
  - **A statement directing the Inspector General to conduct the inspection**
  - **A list of all objectives that pertain to the inspection**
  - **A statement that outlines tasking authority for all active, Reserve, National Guard, and tenant organizations**
  - **A statement that authorizes the IG to have access to all Army activities, organizations, and information sources required to conduct the inspection**

Practical Exercise 3

Plan in Detail

Inspections Process

Phase One: The Preparation Phase



The Inspections Guide, Section 4-2, pages 4-2-17 to 4-2-31

Plan in Detail

- **Planning the details of your inspection is the most important step of the Preparation Phase.**
- **The physical outputs of this step are as follows:**
  - **Sub-Tasks for the Objectives**
  - **Methodology**
  - **Notification Letter (includes the Warning Order)**
  - **Detailed Inspection Plan**

Plan in Detail

Developing Sub-Tasks

- **Sub-Tasks are tasks that focus the inspection team on specific ways to seek information and then answer the basic requirement of an inspection objective.**

- **Developing Sub-Tasks requires a great deal of thought and relies greatly upon information gleaned from the Research step of the Preparation Phase.**

- **Subject-matter experts and the applicable standards, policies, and regulations are your best sources of information when developing Sub-Tasks.**

- **Sub-Tasks form the basis for the findings that an inspection team will generate for the final inspection report.**

Plan in Detail

ELO

Information-Gathering Domains

The IG's Sources of Information

- **Interviews with key leaders or personnel.**
- **Sensing Sessions with enlisted Soldiers, NCOs, and officers.**
- **Reviews of pertinent documents such as SOPs, policy letters, post regulations, training-guidance memorandums, and so on.**
- **Observation of events such as Live Fire Exercises (LFX), Field Training Exercises (FTX), Military Decision Making Process (MDMP) exercises, after-action reviews, inspections, and so on.**
- **Surveys and Questionnaires are normally used for Special-Interest Items that only require a sampling of a unit's population.**

The Inspections Guide, Section 4-2, page 4-2-17

Plan in Detail

Developing Sub-Tasks

Example

2. Objective: Determine if leaders at all levels throughout the division understand – and can implement – the division's Force Protection Program.

Sub-tasks:

2.1 Interview senior leaders to determine if they understand the requirements and intent of the division's Force Protection Program.

2.2 Conduct sensing sessions with junior officers, NCOs, and enlisted Soldiers to determine if they understand -- and are able to implement -- the division's Force Protection Program.

2.3 Review unit Force Protection SOPs and policies to determine if these documents adhere to the requirements of the division Force Protection Program.

2.4 Observe unit Force Protection training, drills, and operations (as available) to determine if the units are complying effectively with the division's Force Protection Program.

Practical Exercise 4

Plan in Detail

Developing a Methodology

- **A methodology is nothing more than the inspection team's plan for physically conducting an inspection at a unit or staff agency.**

- **The Sub-Tasks you developed for your objectives will drive your methodology.**

- **The physical outputs of developing a methodology are as follows:**

  - **Task Organization of the Inspection Team (includes augmentees)**
  - **Baseline Methodology**
  - **Sample Inspection Itinerary**

Plan in Detail

Task Organization of the Inspection Team

What additional expertise do you need for your team or team

Team A	Team B
MAJ List (Armor)*	**CPT Numero (Aviation)**
MSG Smith (Supply) (Maintenance)	**SFC Bergerac**
Maintenance (G-4)	**Supply (G-4)**
Personnel (G-1)	**Personnel (G-1)**
Security (G-2)	**Security (G-2)**

***MAJ List is the overall leader of the inspection effort.**

Plan in Detail

Baseline Methodology

- **The Baseline Methodology is the standard approach that the inspection team (or teams) will follow during an inspection visit.**

- **The Baseline Methodology will include information-gathering assignments to team members.**

- **Each team member must have a specific function within the team (interviewer, sensing-session facilitator, document reviewer, and observer).**

Plan in Detail

Baseline Methodology (continued)

Inspections Process

The Baseline Methodology will look as follows:

- **Personnel to interview (interviews and sensing sessions)**
  - **Brigade and Battalion Commanders / XOs / S3s / CSMs (MAJ List / CPT Numero – Interviewers)**
  - **Directorate heads / Primary Staff Members (MAJ List / CPT Numero – Interviewers)**
  - **Company Commanders and First Sergeants (MSG Smith / SFC Bergerac – Sensing Session)**
  - **Senior NCOs within the staff agencies (MSG Smith / SFC Bergerac – Sensing Session)**

- **Documents to Review (on site or in advance)**
  - **Division, Brigade, and Battalion OIP documents (MAJ List / CPT Numero)**
  - **OIP results for the past two years (especially company / detachment Initial Command Inspections) (MSG Smith / SFC Bergerac / G-1 / G-2 / G-4)**
  - **Unit SOPs relating to OIPs (MSG Smith / SFC Bergerac / G-1 / G-2 / G-4)**
  - **Training schedules to check OIP scheduling (MSG Smith / SFC Bergerac)**
  - **Training Guidance or Command Philosophy memorandums that include OIP guidance (MAJ List / CPT Numero)**

- **Observation**
  - **Observe scheduled inspections as available (All team members)**

Plan in Detail

Baseline Methodology (continued)

- **The Baseline Methodology should also indicate how long an inspection team will spend at a unit or staff agency.**
  - **Division or Tenant Unit: <u>One Day</u>**
  - **Division or Installation Staff Agency: <u>Half Day</u>**

Plan in Detail

Sample Inspection Itinerary

Inspections Process

The Sample Inspection Itinerary allows the team to apply time constraints to the information-gathering requirements outlined in the Baseline Methodology.

- **0830-0845 Conduct unit In-Briefing with commander and staff (All team members)**
- **0900-1000 Interview unit commander (MAJ List)**
- **0900-1030 Sensing Session with Company Commanders and First Sergeants (MSG Smith / G-1)**
- **0900-1000 Review previous OIP results for two-year period (G-2 / G-4)**
- **1030-1130 Interview unit Executive Officer (MAJ List)**
- **1030-1200 Sensing Session with senior staff NCOs (MSG Smith / G-1)**
- **1300-1400 Review key unit OIP documents (MAJ List)**
- **1300-1430 Observe Staff Inspection of unit S-4 (MSG Smith / G-4)**
- **1430-1530 Interview unit S-3 (MAJ List)**
- **1545-1645 IG Team IPR / Out-Briefing Preparation (All team**

Plan in Detail

Notification Memorandum

- **The Notification Memorandum (or letter) officially notifies the unit or staff agency that an inspection is forthcoming.**

- **To draft this memo, the Inspection Team must choose the units and staff agencies that the team (or teams) will visit.**

- **A signed copy of the Notification Memorandum should go to all affected units and staff agencies at least six weeks before the first unit visit.**

- **A telephonic Warning Order will normally precede the Notification Memorandum by at least one week.**

Plan in Detail

Contents of the Notification Memorandum

- **The Notification Memorandum should include the following:**
  - **Background information about the inspection**
  - **Purpose of the inspection**
  - **A listing of the units that the IG team (or teams) will visit**
  - **The Inspection Objectives**
  - **The Baseline Methodology for the inspection**
  - **Feedback requirements**
  - **A basic timeline**
  - **A copy of the signed Inspection Directive as an enclosure**

Practical Exercise 5

Plan in Detail

Detailed Inspection Plan

- **The Detailed Inspection Plan is the single most important planning document that the Inspection Team will produce.**

- **This document requires the greatest amount of detail possible so that – once issued – the document anticipates and answers the questions of all affected units and staff agencies.**

- **A good, solid Detailed Inspection Plan (Operations Order) will answer most – but not all – of the inspected unit or staff agency's questions.**

Plan in Detail

Contents of the Detailed Inspection Plan

- **At a minimum, the Detailed Inspection Plan should include the following:**

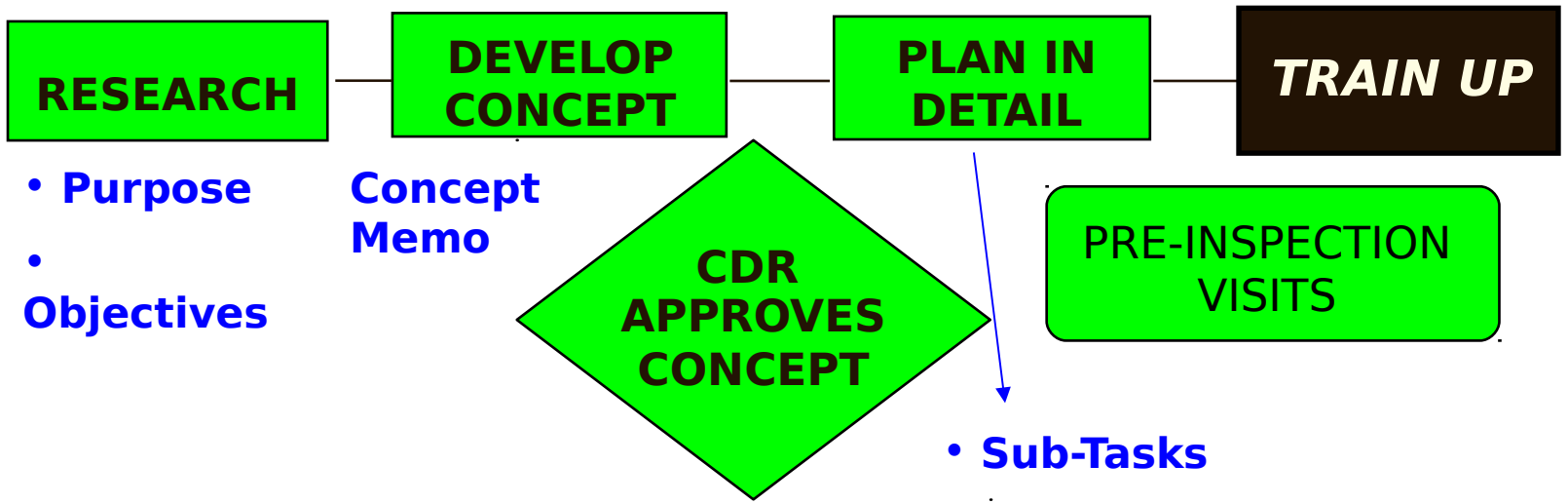
✓**Directive**
✓**Inspection Goal**
✓**Inspection Objectives**
✓**Task Organization**
✓**Inspection Locations and Schedule**
✓**Inspection Approach**
✓**Interview Requirements**
✓**Special Items of Interest**
✓**Inspection Itineraries**
✓**Document Requests**
✓**Resources**
✓**Administrative Support Requirements**
✓**Report Completion Timeline**
✓**Suspense Summary**
✓**Distribution**

Practical Exercise 6

Train Up

Inspections Process

Phase One: The Preparation Phase



The Inspections Guide, Section 4-2, pages 4-2-32 to 4-2-39

Train Up

The Inspection Team's Time

- **Arrange for classes taught to the Inspection Team by Subject-Matter Experts (SME).**

- **Incorporate the augmentation personnel into the Inspection Team and assign them specific duties and responsibilities.**

- **Either a detailed or assistant IG may administer the IG oath to augmentation personnel to swear them in as Temporary Assistant IGs.**

- **Develop your information-gathering tools such as interview questions, sensing-session questions, and observation spot reports.**
(The Inspections Guide, page 4-2-36)

- **Rehearse your interviews, sensing sessions, and other aspects of your planned methodology that you may need to "shake out."**

Train Up

Developing Information-Gathering Tools

- **The Information-Gathering tools you develop for your inspection must focus on your objectives and how to gather information to answer those objectives.**

- **Information-Gathering tools include:**

  - **Interview Questions**
  - **Sensing-Session Questions**
  - **Observation Spot-Report Formats**
  - **Surveys or Questionnaires**
  - **Guidelines for Document Reviews**

Train Up

Developing Information-Gathering Tools (continued)

Guidelines for developing interview and sensing-session questions are as follows (see Section 4-2, Step 5, in The Inspections Guide) :

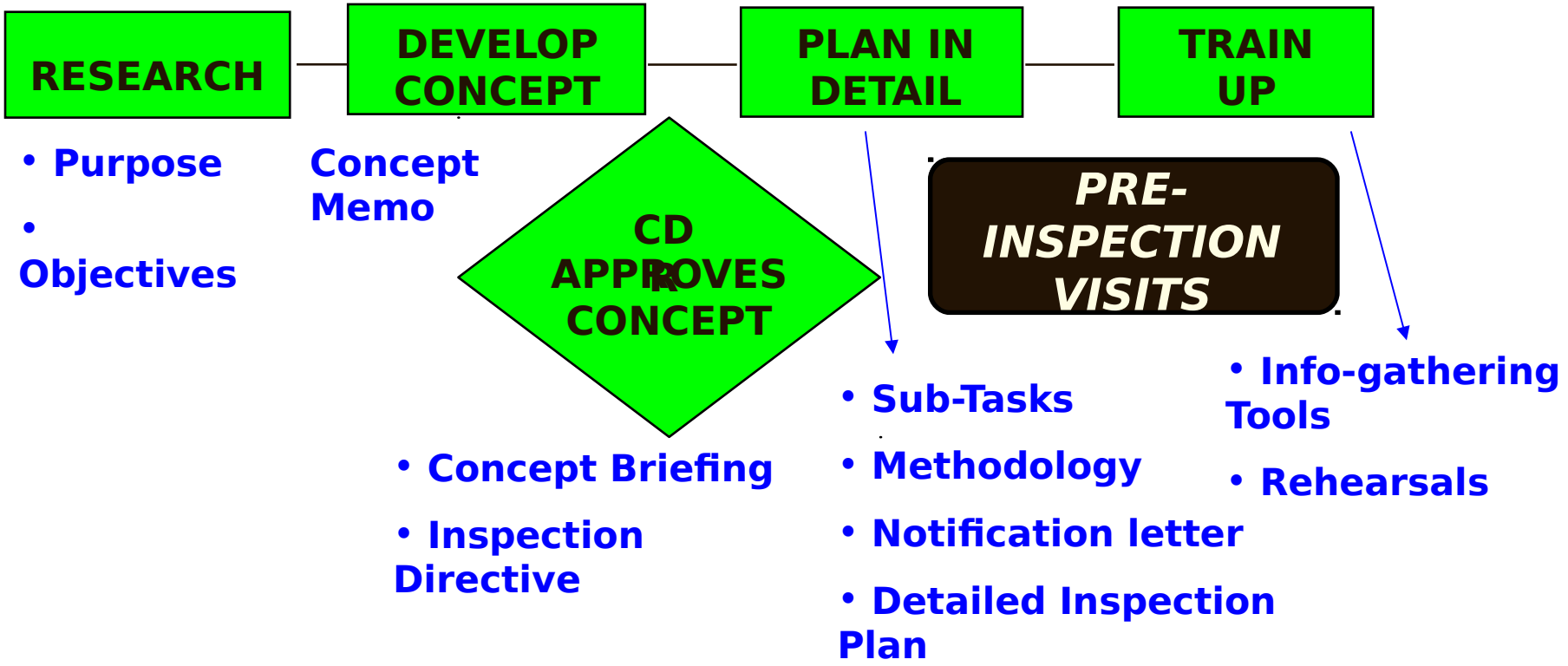
- **The questions should focus on answering the information requirements of the Sub-Tasks.**
- **Develop open-ended questions that encourage discussion.**
- **Develop questions designed to get at the root cause of any non-compliance.**
- **Tailor the questions to fit the person (or persons) whom you will interview or sense.**

Practical Exercise 7

Pre-Inspection Visits

Inspections Process

Phase One: The Preparation Phase



The Inspections Guide, Section 4-2, pages 4-2-40 to 4-2-41

Pre-Inspection Visits

Inspections Process

- **Pre-Inspection Visits are necessary to validate – and refine – your inspection methodology and your information-gathering tools (interview questions, etc.).**

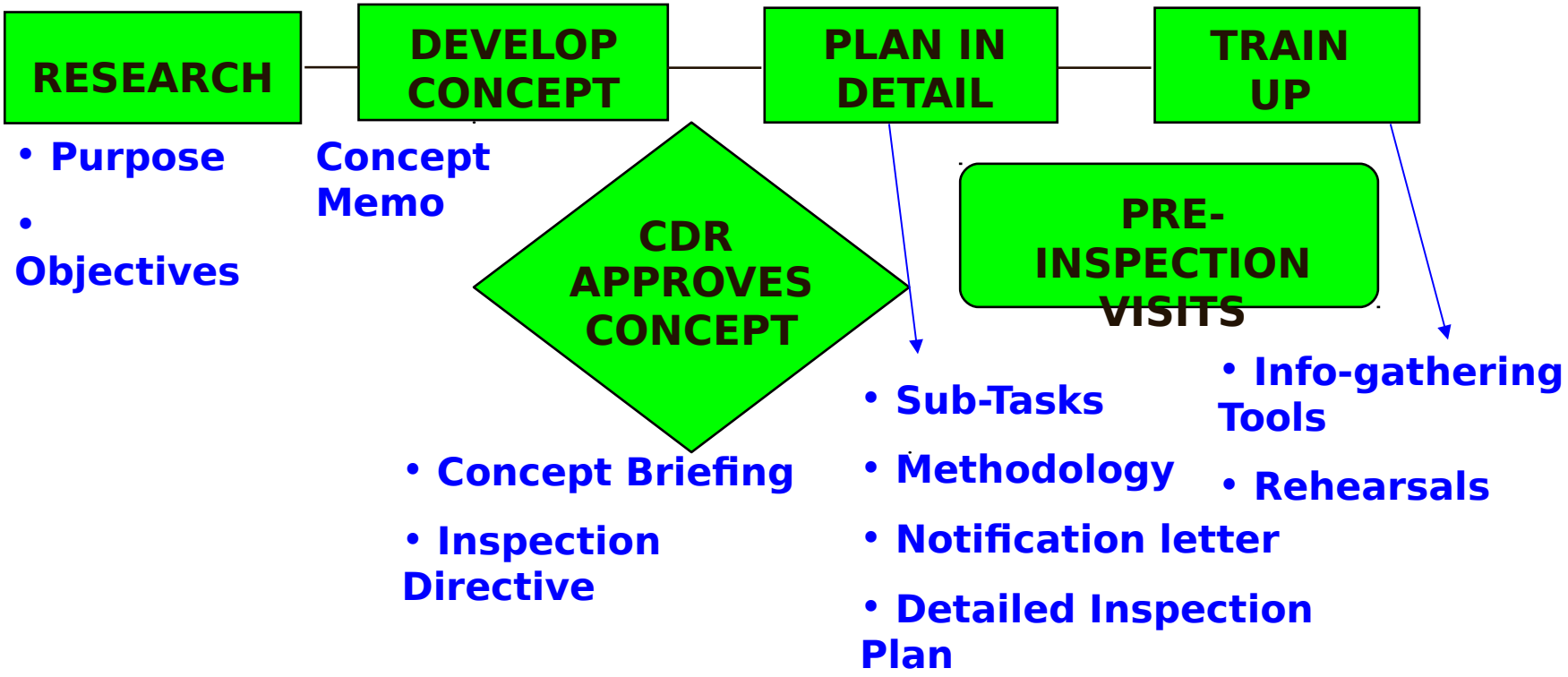
- **The Inspection Team should conduct a Pre-Inspection Visit for each type of unit or agency the team will visit (for example, a battalion and a staff agency).**

- **Conduct the Pre-Inspection Visit exactly as outlined in the Detailed Inspection Plan, but do not use the information gleaned from this visit in the final inspection report.**

The Inspections Process

Inspections Process

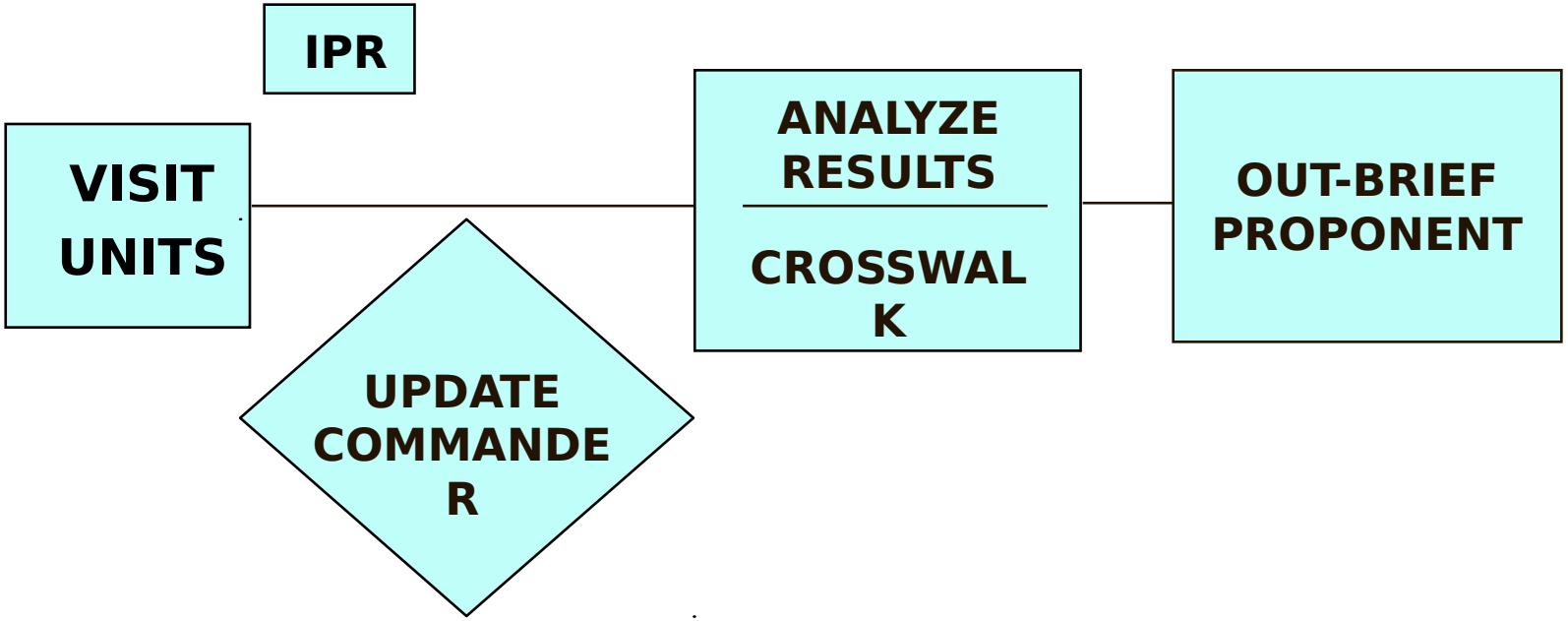
Phase One: The Preparation Phase



The Inspections Process

Inspections Process

Phase Two: The Execution Phase

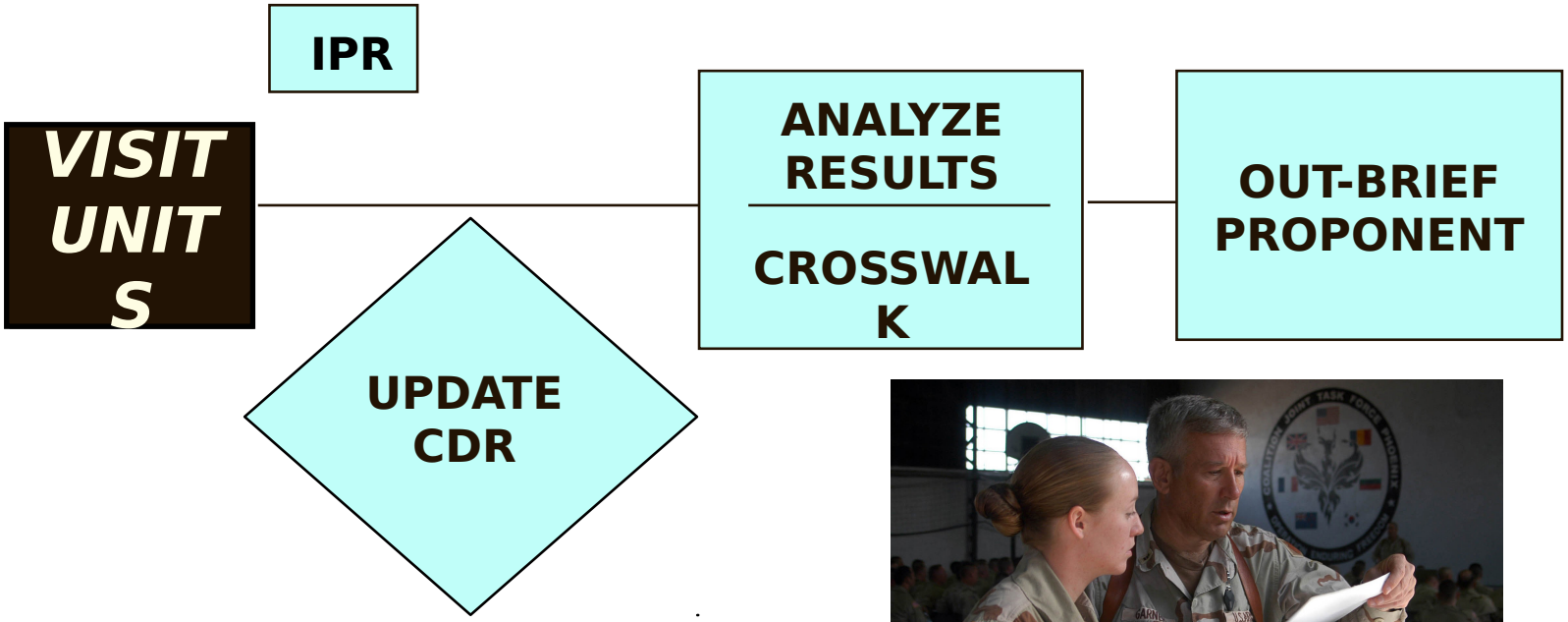


The Inspections Guide, Section 4-3

Visit Units

Inspections Process

Phase Two: The Execution Phase



The Inspections Guide, Section 4-3, pages 4-3-2 to 4-3-6

Visit Units

Be open and discreet!

- **Execute your methodology and the itinerary you developed with the unit or staff agency.**

- **Conduct your in-briefing to inform the unit or staff agency's leaders of the purpose and scope of your inspection (develop a standard in-briefing for all units).**

- **Conduct interviews, sensing sessions, document review, and observation using the information-gathering tools you developed during the Train-Up step of the Preparation Phase.**

- **Provide the unit or staff agency's leaders with a written or verbal out-briefing (develop a standard slide format).**
  - **Avoid attribution when sharing your observations**
  - **Use names and units only to tell a good-news story**

Visit Units

Write the Trip Report

- **Immediately following an inspection visit to a unit or staff agency, the team members must compile their information into a Trip Report. Trip Reports …**

  - **Are the team's primary-source documents for writing the Final Report.**

  - **Are memorandums that allow the team members to capture the information they just gathered.**

  - **Are a permanent IG record of the inspection visit.**

  - **Keep the Inspection Team from losing important data that team members can easily forget.**

Visit Units

Writing a Trip-Report Observation

Inspections Process

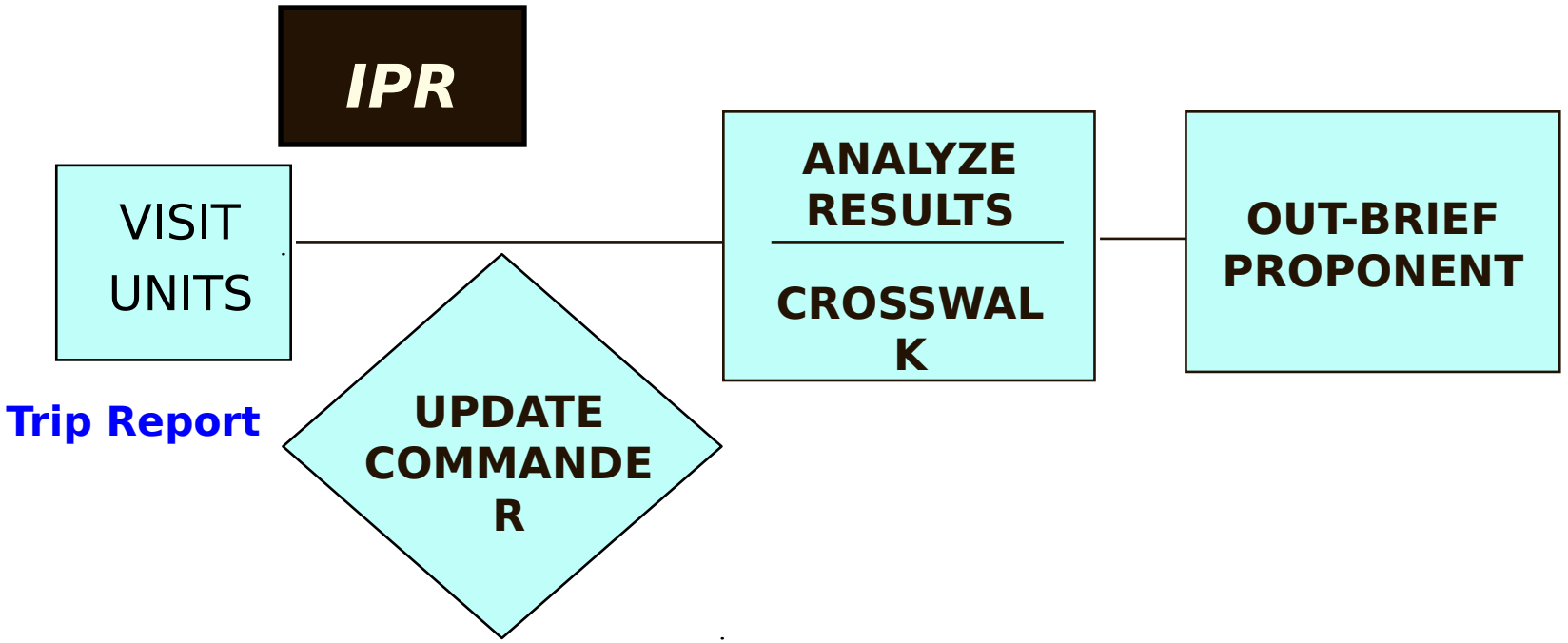
- **Each observation should include some or all of the following elements:**
  - **Raw-data information – Unprocessed examples of what you saw, read, or heard.**
  - **Synthesized information – Sentences that combine raw-data information in an effort to summarize that information.**
  - **Analyzed information – Sentences that critically examine and process raw-data information in an effort to glean greater meaning from the data.**
  - **Inspector's Opinion – The observer's sense or impression of the event or people interviewed.**

Practical Exercise 8

Conduct an In-Process Review

Inspections Process

Phase Two: The Execution Phase



The Inspections Guide, Section 4-3, pages 4-3-7 to 4-3-18

Conduct an In-Process Review (IPR)

ELO

- **The purpose of the IPR is to share and discuss the information that the team members have gleaned from their visits to units and staff agencies.**

- **Conduct an IPR following every inspection visit or after several visits.**

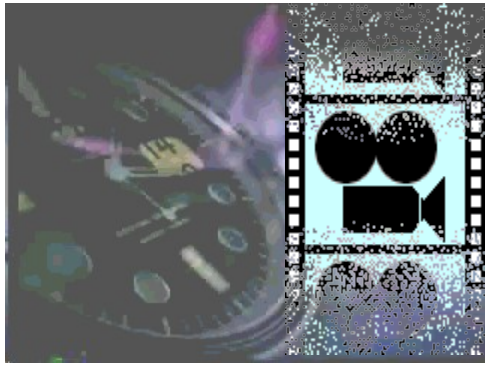
- **Conduct the IPR as an organized, well-prepared meeting that has an agenda and a means of collecting the data for open consideration by all team members.**

  - **Sample IPR Worksheet**
  - **Sample Trends Analysis Sheet**

The Inspections Guide, Section 4-3, pages 4-3-7 to 4-3-

Conduct an In-Process Review (IPR)

Sample Agenda



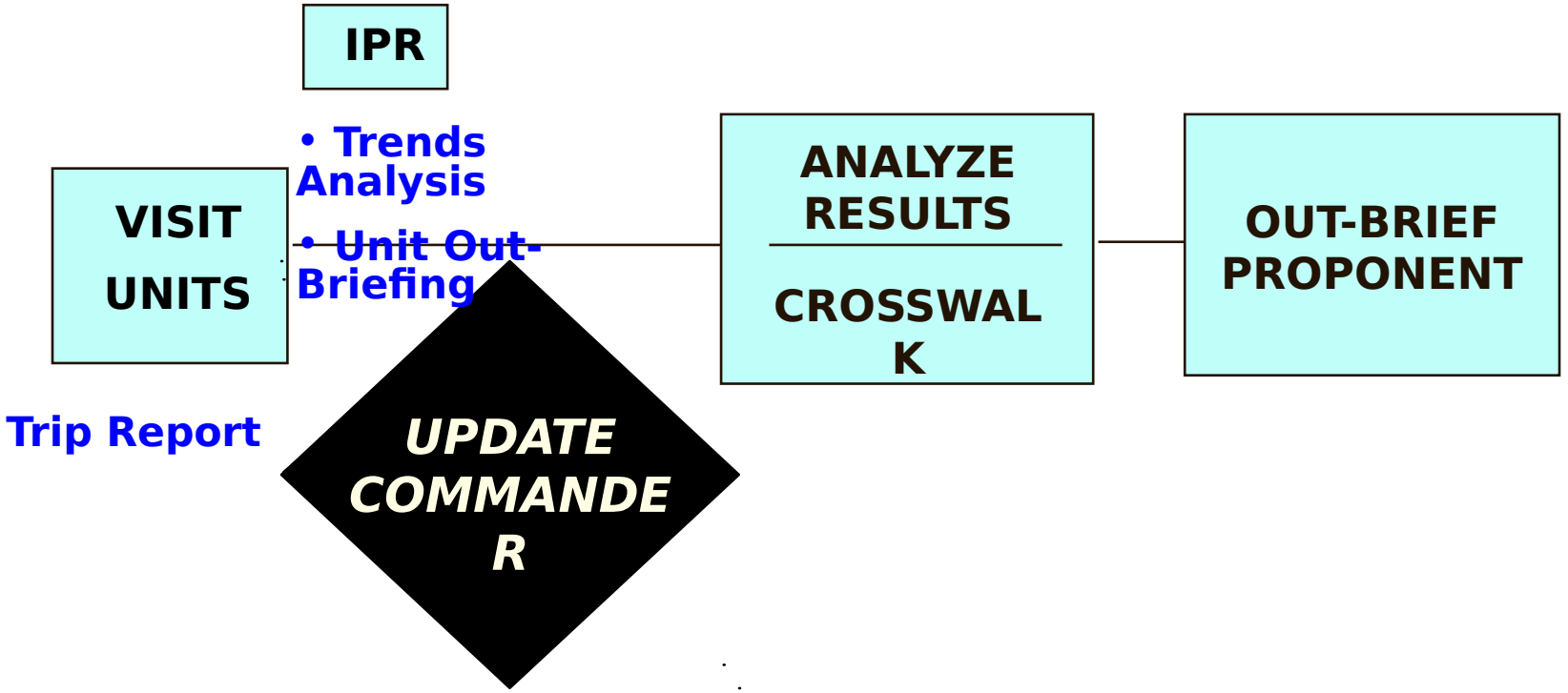
- **Review of Administrative Issues**
- **Calendar Updates and Changes**
- **Complete the IPR Worksheet**
  - **By Team (or team member)**
  - **By Objective**
  - **By Information-Gathering Domain (results of interviews, etc.)**
- **Output: Completed Trends Analysis Sheet or an Out-Briefing**
- **Final Comments and guidance by the person in charge of the inspection**

Practical Exercise 9

Update the Commander

Inspections Process

Phase Two: The Execution Phase



The Inspections Guide, Section 4-3, page 4-3-19

Update the Commander

Inspections Process

- **Your commander may request an in-progress update of the inspection.**

- **In most cases, you will develop an information briefing to update the commander on the current trends you are finding.**

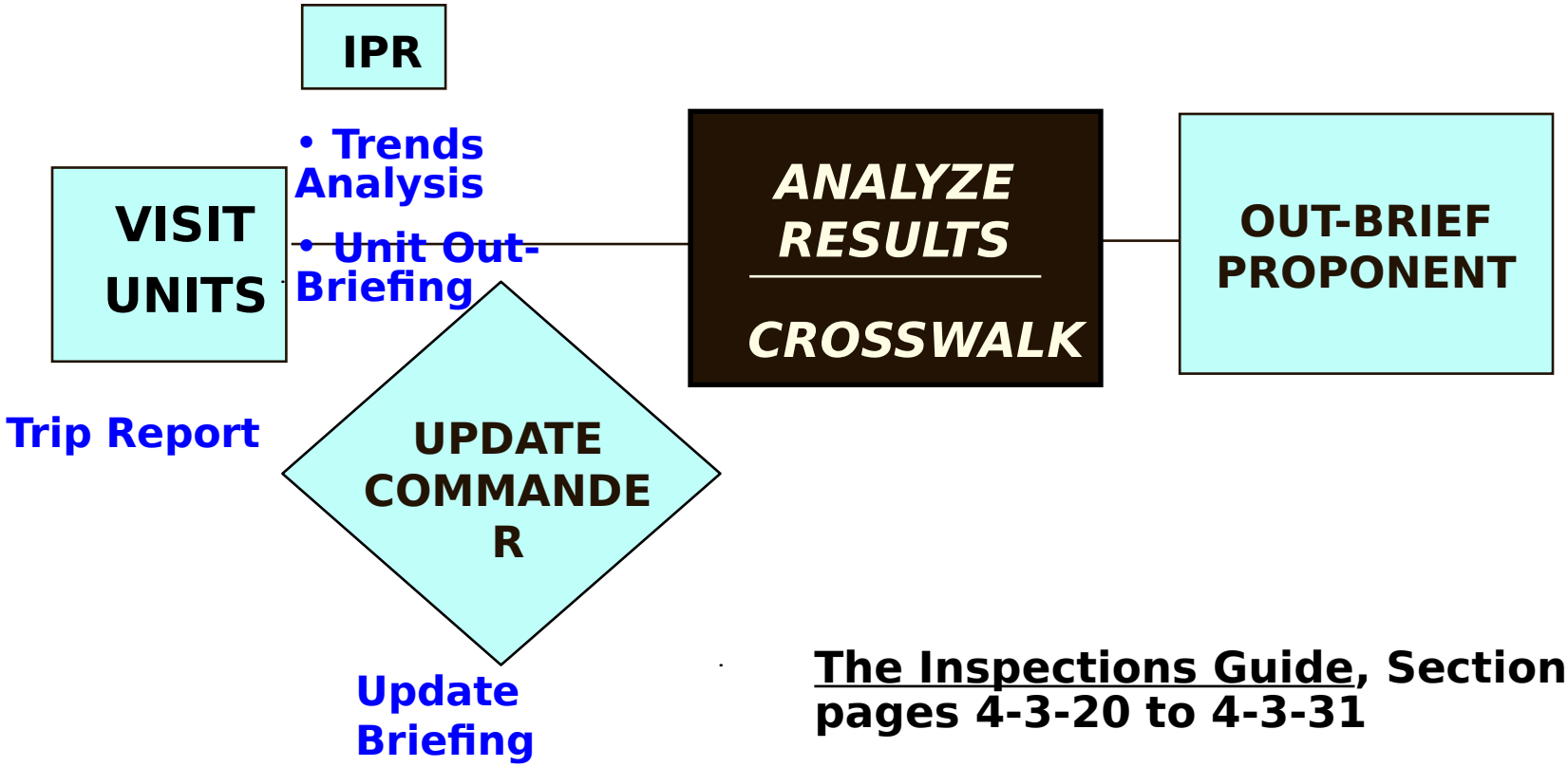
- **Refer to the most up-to-date version of your Trends Analysis Sheet for information to include in the briefing.**

- **Review the concept and inspection schedule with your commander as part of the briefing.**

Analyze the Results and Cross-walk

Inspections Process

Phase Two: The Execution Phase



The Inspections Guide, Section 4-3, pages 4-3-20 to 4-3-31

Analyze the Results and Cross-walk

Write the Final Report

- **Analyzing the results means that you must now organize the inspection team to begin writing the Final Report.**

- **Develop a game plan that assigns writing responsibilities to the team members.**

- **Develop a Final Report format, to include a standard format for each of the major chapters.**

- **Set a Final Report timeline that gives your team members enough time to analyze and write their findings and conduct cross-walking as necessary.**

Analyze the Results and Cross-walk

ELO

What is Cross-Walking?

- **The purpose is to verify – or validate -- the accuracy of what you saw, read or heard.**
- **Cross-walking is the process of following up on certain inspection results that might require further verification.**
- **Cross-walking may take you vertically (up the chain) or horizontally (across command lines).**
- **IGs frequently define cross-walking as the "dogged pursuit of the truth"**
- **In most cases, cross-walking is nothing more than a phone call to someone who might clarify a particular issue or who might verify that what you saw or were told is in fact accurate.**

Analyze the Results and Cross-walk

Structuring the Final Report

- **The Final Report should follow a basic format.**
  - **Table of Contents**
  - **Guidance on the Release of IG Information**
  - **Executive Summary**
  - **Chapters on Background and Methodology**
  - **Chapters for each Objective (with findings by Sub-Task)**
  - **Summary of Recommendations**
  - **Appendices:**
    - **References**
    - **Inspection Directive**
    - **Units Visited**
    - **Interview and Sensing-Session Questions**

Analyze the Results and Cross-walk

How do you write a chapter for an Objective?

- **The process of writing each Objective chapter will result in the findings for that objective.**

- **Each objective will have at least one finding per Sub-Task.**

- **The team chief must oversee the process from start to finish and serve as the final editor of the report.**

Analyze the Results and Crosswalk

A Chapter-Writing Method that Works

- **Organize your team so that you have IGs and augmentees involved in either the writing or reviewing process.**

- **The Team Leader should organize the team as follows:**

  - **Overseer of the Process (Team Leader)**
  - **Writers for each Objective Chapter (usually only IG members)**
  - **Chapter-Review Committee (Team Leader with one or more of the augmentees)**
  - **Writer of the Methodology and Background Chapters (Team Deputy)**
  - **Writer of the Executive Summary, Summary of Recommendations, and remaining sections (Team Leader)**
  - **Final Editor and Reviewer (Team Leader)**

Analyze the Results and Crosswalk

Inspections Process

Writing a Chapter for an Objective

- **Step 1: Gather the Tools**
- **Step 2: Develop a Writing Schedule**
- **Step 3: Organize Your Sources**
- **Step 4: Review and Study Your Sources**
- **Step 5: Develop Tools to Collect and Analyze Your Information**
- **Step 6: Develop Your Findings Statements**
- **Step 7: Write Your Findings Sections**
- **Step 8: Complete the Chapter**
- **Step 9: Submit the Draft Chapter for Committee Review ("Murder Board")**

Step 1: Gather the Tools

- **Print copies of all the Trip Reports.**

- **Craft a word-processing template of the chapter you will write using the established format.**

- **Ensure that you have copies on hand of the key references that pertain to your inspection as well as The Inspections Guide.**

- **Gather different-colored highlighters so that you can color-code the information in the Trip Reports. (Color code each sub-task)**

Step 2: Develop a Writing Schedule

- **Create a calendar plan that identifies the specific days you will work on a particular Sub-Task or portion of the chapter.**

- **Tailor the schedule to your own abilities. Don't get too ambitious. Be realistic!**

- **Review the writing schedule to ensure that it meets the overall report-writing timeline and allows you enough time to review your draft.**

- **Stick to this writing schedule!**

Step 3: Organize Your Sources

- **Write bold headings at the top of each Trip Report in a colored pen or marker so you can distinguish one from the other rather quickly.**

- **Remember: You will be juggling several different Trip Reports as you write your chapter.**

- **Place the Trip Reports in folders or develop some other system to ensure ease of access and organization.**

Step 4: Review and Study Your Sourc

- **Go through each Trip Report and use the different colored markers to highlight the information for each of your Sub-Tasks. Use a different color for each Sub-Task.**

- **Once you have highlighted the information, go back and read – in a leisurely fashion – all of the information pertaining to the first Sub-Task about which you will plan to write.**

- **Absorb and try to understand the varying types of information without attempting to analyze or categorize the information. Let your mind wander freely!**

- **Mentally formulate your findings based on what**

Step 5: Develop Tools to Collect and Analyze Your Information

- **After absorbing the information you have just read, develop a tool to help you organize your thoughts and the information you gathered.**

- **Use the Trends Analysis Sheet or a similar matrix to identify and lay out the common bits of information that you gleaned from the Trip Reports.**

- **Do not allow yourself to become bogged down by smaller bits of information. Stay focused on the bigger picture!**

- **Conduct cross-walking as necessary. Call those individuals whom you think can help.**

Step 6: Develop Your Finding Statem

Inspections Process

- **You will base your finding statement(s) on the preponderance of information you gather about a particular Sub-Task. For example, if 65 percent of the data we collected leans toward an Army-wide finding that Risk Management is not getting into the updated doctrinal manuals, then your finding will state that fact. You can address the other 35 percent who are having success when you write the discussion – or Inspection Results – portion for that finding.**

- **The finding statement is a single, well-focused, well-structured sentence that captures the true essence of the finding. This sentence must be able to stand alone.**

- **For example: Active-duty battalions are not conducting Initial Command Inspections within 90 days of an officer assuming company command in accordance with AR 1-201.**

Step 7: Write Your Findings Sections

Inspections Process

- **Use the findings section format (see page 4-3-23 of <u>The Inspections Guide</u>).**

- **Each Sub-Task will have no less than one findings section; some Sub-Tasks may have <u>two</u> or even <u>three</u> findings.**

- **<u>Finding Statement:</u> Be certain to include positive findings and not just negative findings. Good-news stories are always welcome!**

- **<u>Standard:</u> Write the entire standard for that finding verbatim from the original source. Do not paraphrase the text.**

- **<u>Inspection Results:</u> Write the Inspection Results section to address each and every point that you must make to support your findings statement.**

- **<u>Root Cause:</u> Follow the Root-Cause Analysis model. Remember: A good-news story normally will not have a root cause.**

- **<u>Recommendation:</u> Ensure that your recommendations are**

Step 8: Complete the Chapter

- **Compile all of the findings portions into one document using the established chapter format.**

- **Read and re-read the chapter several times to ensure consistency and to avoid needless redundancy.**

- **Read the chapter out loud to yourself to help eliminate grammar errors or extraordinarily long sentences.**

Step 9: Submit the Chapter for Peer and Committee Review

- **Let someone else read your draft chapter and point out any obvious errors or inconsistencies.**

- **Make any necessary adjustments to the draft and then print a clean copy for your Team Leader and for the Committee Review.**

- **The Team Leader will arrange a time for you to meet with the committee to answer questions or to address problem areas with the text – a "murder board."**

- **Make any necessary changes to the document and submit a clean copy to the Team Leader for a final grammar and format review.**

Example

Sample Sub-Task

Objective 3

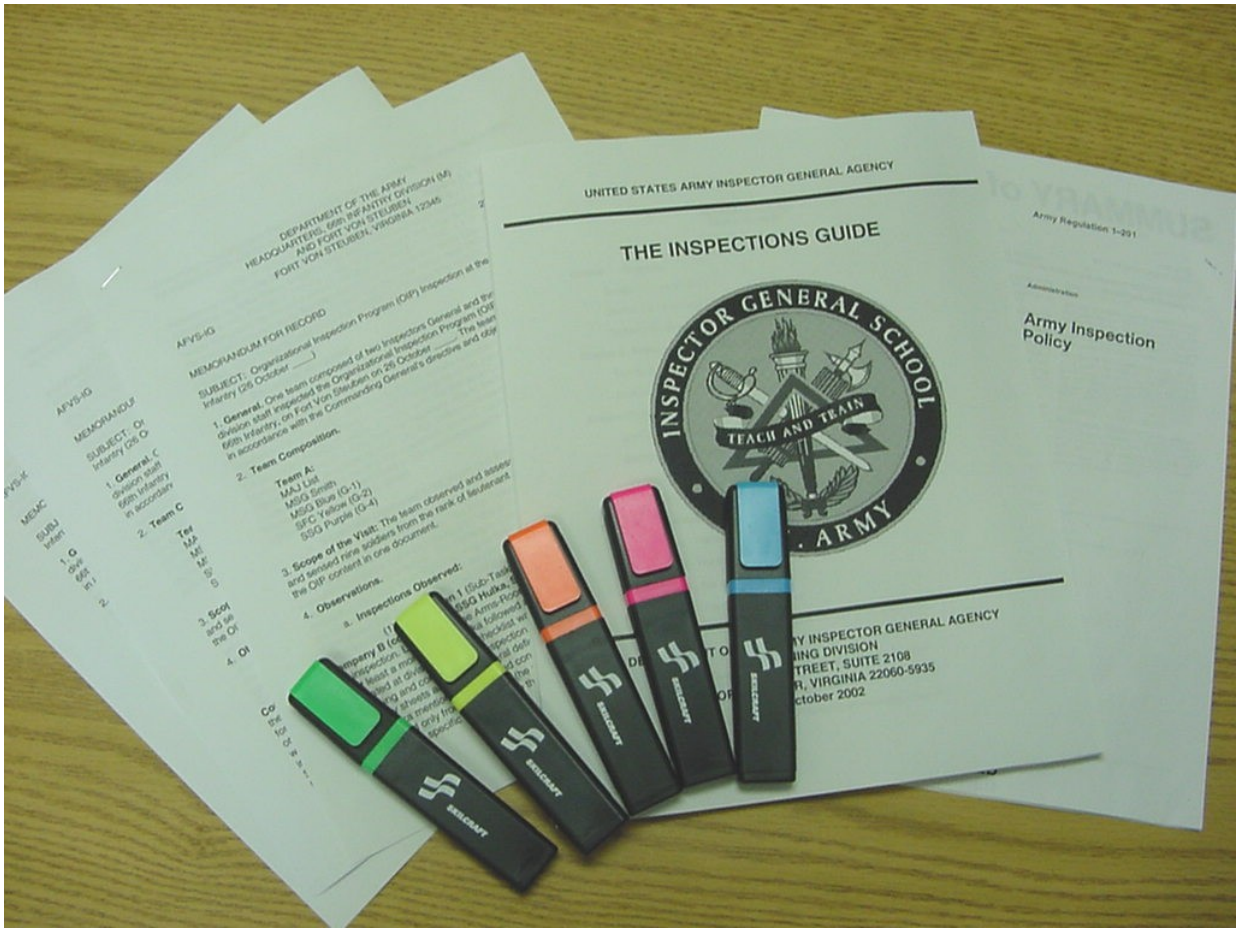
Determine if the inspections conducted by our division, post, and tenant units adhere to the five inspection principles outlined in AR 1-201.

Sub-Task 3.2:

Determine if active-duty battalion-level units are conducting Initial Command Inspections within 90 days of an officer assuming company command in accordance with AR 1-201.

Step 1: Gather the Tools

Inspections Process

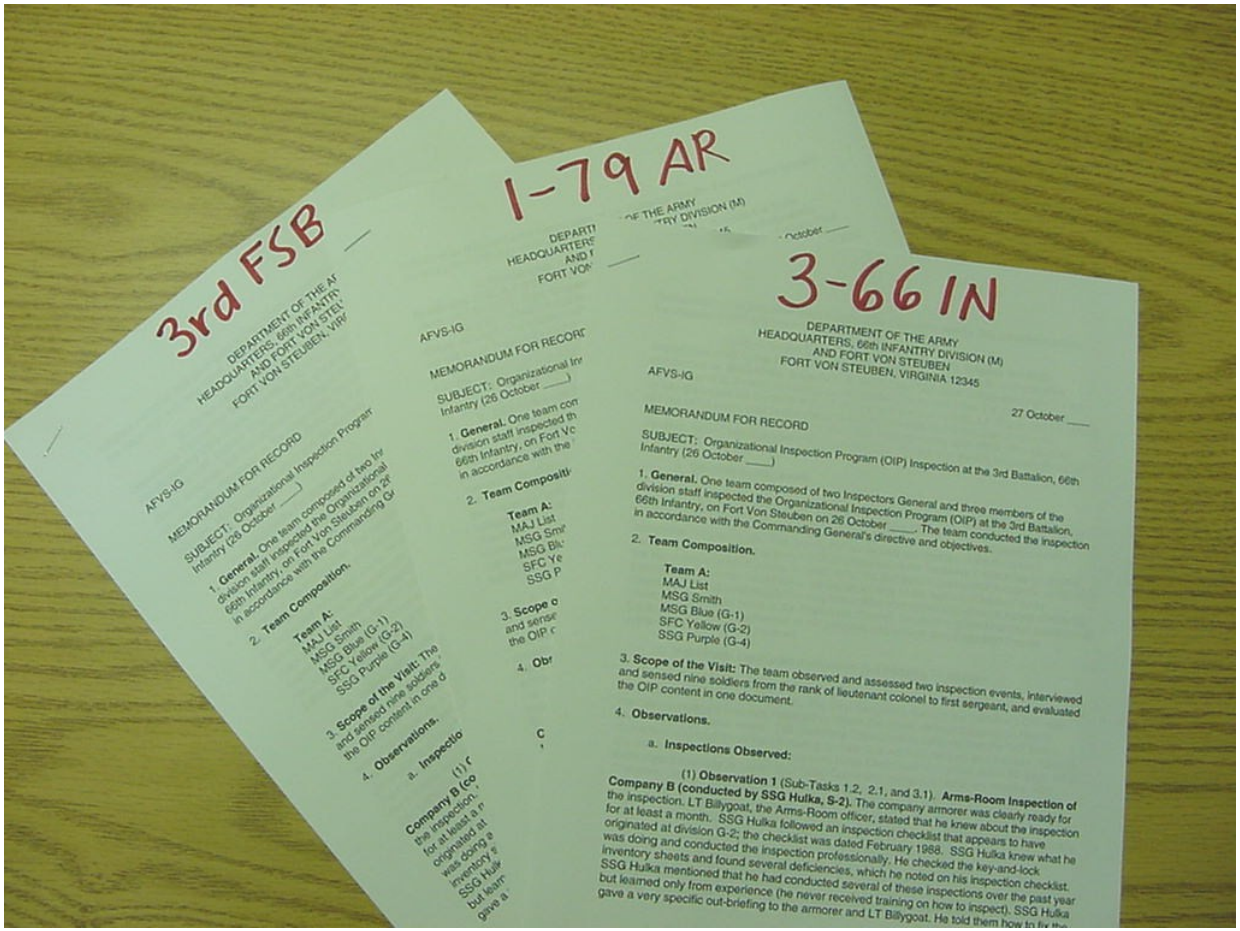


Step 2: Develop a Writing Schedule

- **For example:**
  - **15-17 November: Write Sub-Task 3.1**
  - **18-20 November: Write Sub-Task 3.2**
  - **21-23 November: Write Sub-Task 3.3**
  - **1-3 December: Write Sub-Task 3.4**
  - **4-5 December: Finish Chapter**

Step 3: Organize Your Sources

Inspections Process


3rd FSB
1-79 AR
3-66 IN
DEPARTMENT OF THE ARMY
HEADQUARTERS, 66th INFANTRY DIVISION (M)
AND FORT VON STEUBEN
FORT VON STEUBEN, VIRGINIA 12345
AFVS-IG
27 October ___
MEMORANDUM FOR RECORD
SUBJECT: Organizational Inspection Program (OIP) Inspection at the 3rd Battalion, 66th Infantry (26 October ___)
1. General. One team composed of two Inspectors General and three members of the division staff inspected the Organizational Inspection Program (OIP) at the 3rd Battalion, 66th Infantry, on Fort Von Steuben on 26 October ___. The team conducted the inspection in accordance with the Commanding General's directive and objectives.
2. Team Composition.
Team A:
MAJ List
MSG Smith
MSG Blue (G-1)
SFC Yellow (G-2)
SSG Purple (G-4)
3. Scope of the Visit: The team observed and assessed two inspection events, interviewed and sensed nine soldiers from the rank of lieutenant colonel to first sergeant, and evaluated the OIP content in one document.
4. Observations.
a. Inspections Observed:
(1) Observation 1 (Sub-Tasks 1.2, 2.1, and 3.1). Arms-Room Inspection of Company B (conducted by SSG Hulka, S-2). The company armorer was clearly ready for the inspection. LT Billygoat, the Arms-Room officer, stated that he knew about the inspection for at least a month. SSG Hulka followed an inspection checklist that appears to have originated at division G-2; the checklist was dated February 1988. SSG Hulka knew what he was doing and conducted the inspection professionally. He checked the key-and-lock inventory sheets and found several deficiencies, which he noted on his inspection checklist. SSG Hulka mentioned that he had conducted several of these inspections over the past year but learned only from experience (he never received training on how to inspect). SSG Hulka gave a very specific out-briefing to the armorer and LT Billygoat. He told them how to fix

Step 4: Review and Study Your Sources

- **Go through each Trip Report and use the different colored markers to highlight the information for each of your Sub-Tasks. Use a different color for each Sub-Task.**

- **Once you have highlighted the information, go back and read – in a leisurely fashion – all of the information pertaining to the first Sub-Task about which you will plan to write.**

- **Absorb and try to understand the varying types of information without attempting to analyze or categorize the information. Let your mind wander freely!**

3-66 Infantry Trip Report

(1) Observation 1 (Sub-Tasks 1.1, 1.3, and 3.2). Company Commander and First Sergeants Sensing Session. The First Sergeants felt that the battalion's OIP was executed carelessly and was intended to "check the block" without focusing on how to improve the inspected areas. The Company Commanders believed that the OIP was a distraction and kept them from focusing on their real wartime mission and training. None of the commanders present had received his Initial Command Inspection within 90 days. All of them stated that they received their Initial Command Inspection within six months. The Company Commanders felt that these initial inspections were good but that no one ever followed up on the results to check for improvement. The First Sergeants said that these inspections were nothing more than a 'paper drill.' None of the Company Commanders had ever seen a written battalion OIP program. No written OIP programs existed at the company level.

3-66 Infantry Trip Report

Inspections Process

(2) Observation 2 (Sub-Tasks 1.1, 1.3, 2.1, and 3.2). Interview with the Battalion Commander (LTC Jones). LTC Jones has been in command for 13 months. He admitted that he did not have a written OIP "as far as he knew." He allows the XO to handle the OIP and conduct the program "the way the unit did it in the past." He has never seen a written brigade OIP but stated that the Brigade XO normally discusses OIP-related topics at the brigade staff calls. He was not aware of the division OIP memorandum and had never heard of AR 1-201. The battalion recently conducted some Staff-Assistance Visits to the companies in preparation for the Brigade Command Inspection in January, but some Company Commanders complained that the inspectors were too inexperienced or untrained. Initial Command Inspections for the companies normally occur within six months but almost never within 90 days. LTC Jones feels comfortable that the brigade is scheduling Command Inspections well in advance. He is not aware of any inspector-training programs within his battalion.

HHB, Fires Brigade Trip Report

Inspections Process

(2) Observation 2 (Sub-Tasks 1.1, 3.1, and 3.2): Interview with the Company Commander (CPT Black). CPT Black stated that she had received at least four inspections during her 19 months in command. She stated that members of the division staff inspected her and conducted each inspection professionally. She appreciated the detailed feedback that she received at each out-briefing. CPT Black said that she had received her Initial Command Inspection within 45 days of assuming command and that a Subsequent Command Inspection followed six months later. CPT Black did not feel that the inspections were a burden, but she wished that the Brigade S-3 would ensure that her company's inspections ended up on the Brigade Short-Range Calendar. The current calendar does not have HHB scheduled for an inspection, but she learned last month that she could expect an inspection in December.

1-66 Aviation Trip Report

(7) Observation 7 (Sub-Tasks 1.1, 1.3, and 3.2) Company Commander and First Sergeants Sensing Session. The Company Commanders felt that the constant number of inspections was cutting into their training and flying time. They thought that the inspections were "ridiculous and unfocused." The battalion never spent a week inspecting one company at a time. Instead, the different staff sections inspected each company over a period of three or four months. The Battalion Commander was never involved. The First Sergeants agreed with their commanders' assessments and stated that the Command Sergeant Major seemed to be the only one involved in the inspection process. Only one of the four commanders present had received an Initial Command Inspection within 90 days. The other commanders received their Initial Command Inspections after 90 days but within six months.

Step 5: Develop Tools to Collect and Analyze Your Information

Findings	3-66 IN		HHB, Fires Bde
1-66 AV Battalions not conducting ICIs within 90 days IAW AR 1-201	- Battalion Cdr says no ICIs within 90 days - Cdrs / 1SGs say no ICIs within 90 days	- Company Cdr says ICI occurred within 45 days followed by SCI six months later	- Only one of fou Company Cdrs received ICI withi 90 days
Most ICIs occurring within six months but not 90 days	- Battalion Cdr says ICIs usually occur within six months - Cdrs / 1SGs say that ICIs occur within six months	- ICI occurred IAW AR 1-201	- Three of fou Company Cdrs received ICI within six months

Step 6: Develop Your Finding Statement

- **Possible Finding Statements:**

  - **Finding 1: Most active-duty battalions are not conducting Initial Command Inspections within 90 days of an officer assuming company command in accordance with AR 1-201.**

  - **Finding 2: Most active-duty battalions are conducting Initial Command Inspections for companies within six months but not 90 days as prescribed in AR 1-201.**

Step 7: Write Your Findings Sections

Inspections Process

ELO

The Findings Section
(pages 4-3-28 to 4-3-29 of The Inspections Guide)

- **Finding Statement: Write the finding statement as you developed it during Step 6.**

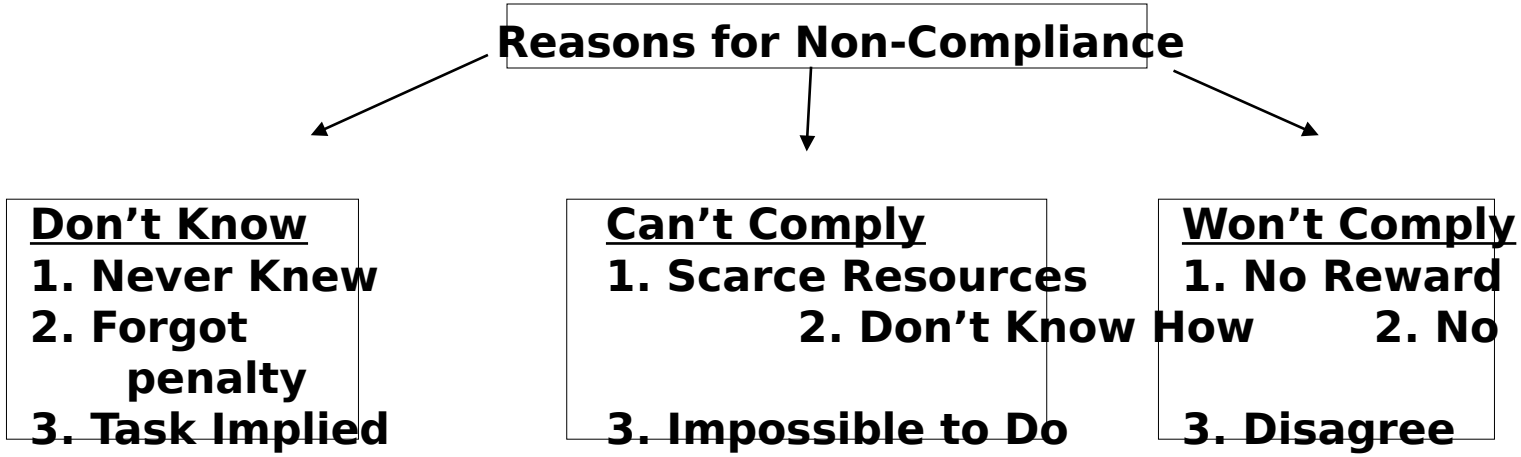
- **Standard: Write out the standard word for word and omit nothing. Remember: A particular standard may not exist for your finding; therefore, simply use this paragraph to discuss the context for your finding.**

- **Inspection Results: This section is possibly the most critical portion of your findings section. You must explain the nature of your finding and any other significant items that pertain directly to that finding. The individuals or staff agencies who will be acting on the recommendations will rely on this section heavily to identify and fix the problem.**

Step 7: Write Your Findings Sections
(continued)

ELO

- **<u>Root Cause:</u> Follow the root cause analysis model outlined in the <u>The Inspections Guide</u> (Section 3-3). Remember: Positive findings will not have a root cause.**



(pages 4-3-28 to 4-3-29 of <u>The Inspections Guide</u>

Step 7: Write Your Findings Sections
(continued)

- **<u>Recommendation:</u> This paragraph must identify clearly and concisely what the IG recommends that a particular individual or staff agency should do to correct the problem.**
  - **The paragraph will begin as follows: The IG recommends that . . .**
  - **The recommendation must tag a specific individual or staff agency.**

(pages 4-3-28 to 4-3-29 of <u>The Inspections Guid</u>

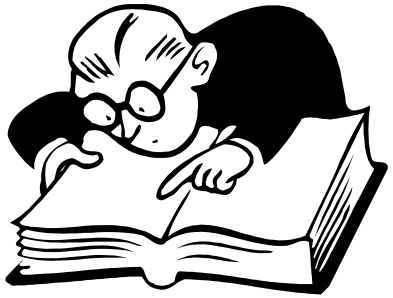
Step 8: Complete the Chapter

- **Compile all of the findings portions into one document using the established chapter format.**

- **Read and re-read the chapter several times to ensure consistency and to avoid needless redundancy.**

- **Read the chapter out loud to yourself to help eliminate grammar errors or extraordinarily long sentences.**

Step 9: Submit the Chapter for Peer and Committee Review



Inspections Process

START

Draft Chapter

Committee Review

Committee Meeting

Revise Chapter

Editing

Team Leader Review

FINISH

Analyze the Results and Crosswalk

What is the Final Result of this step?

- **The final result of this step is a Draft Version of the Final Report.**

- **This draft version will serve as the basis for your briefings to the proponents and to the commander.**

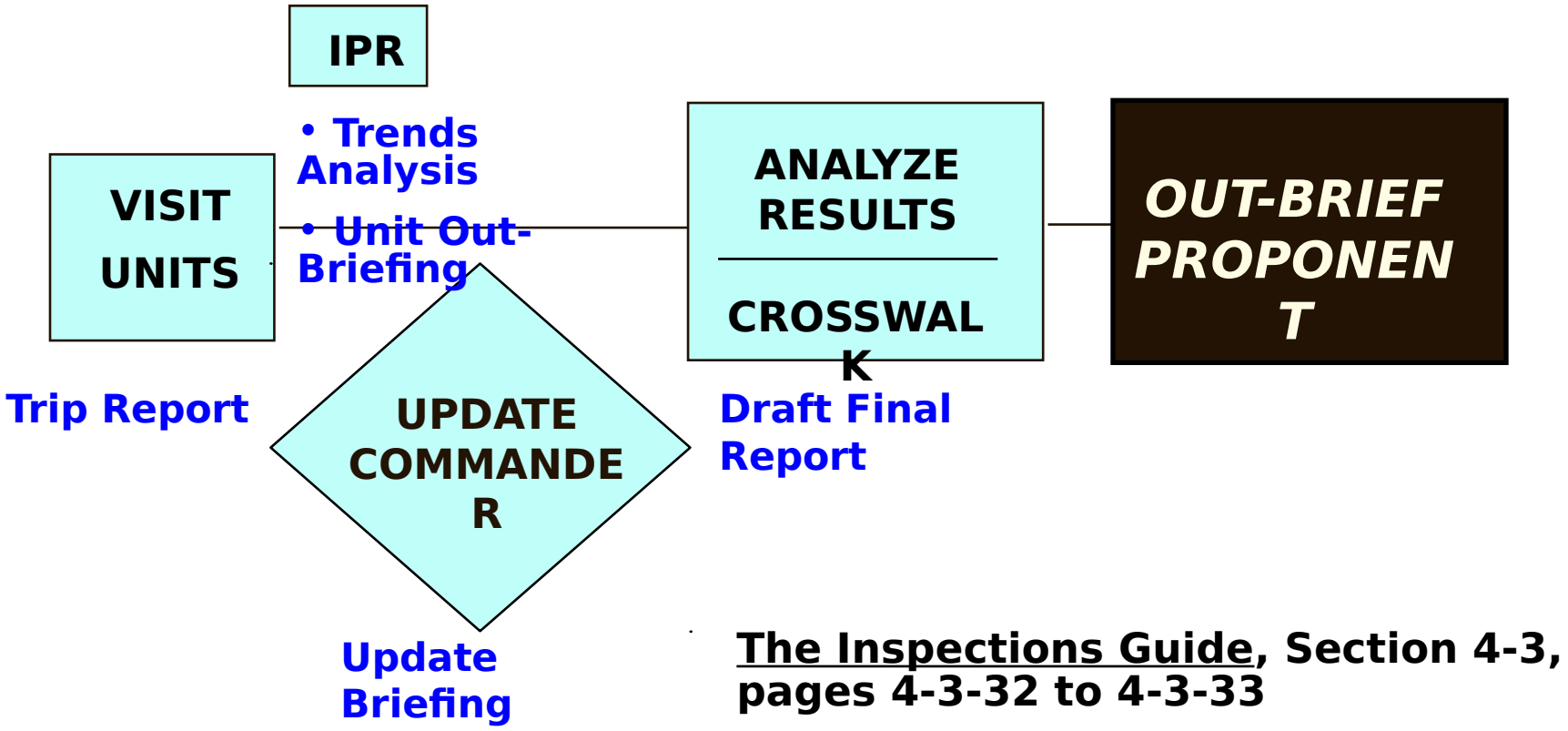
- **Develop a slide presentation or some other means to facilitate the briefing.**

Practical Exercise 10
Graded Homework

Out-Brief the Proponent

Inspections Process

Phase Two: The Execution Phase



The Inspections Guide, Section 4-3, pages 4-3-32 to 4-3-33

Out-Brief the Proponent

Who is the proponent?

- **The person or staff agency responsible to fix the problem.**

- **Each of your recommendations names a proponent.**

- **Before you brief your Final Report to the commander, ensure that you brief each affected proponent in advance as a courtesy.**

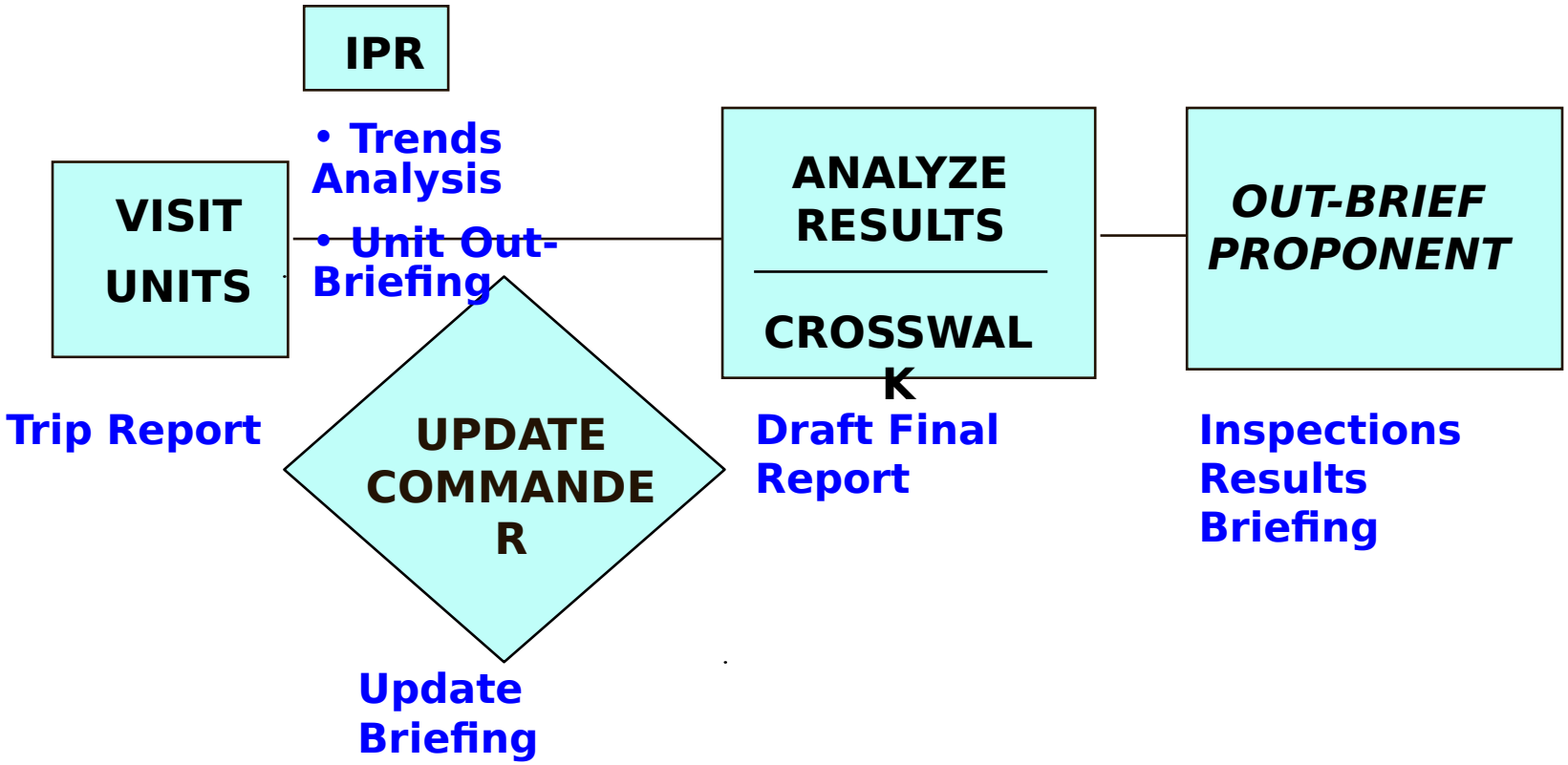
- **The proponent may inform you that he or she is not the correct person – or staff agency – to fix the problem.**

- **Be professional! Remember: The proponent does not have to agree with your findings or recommendations.**

The Inspections Process

Inspections Process

Phase Two: The Execution Phase

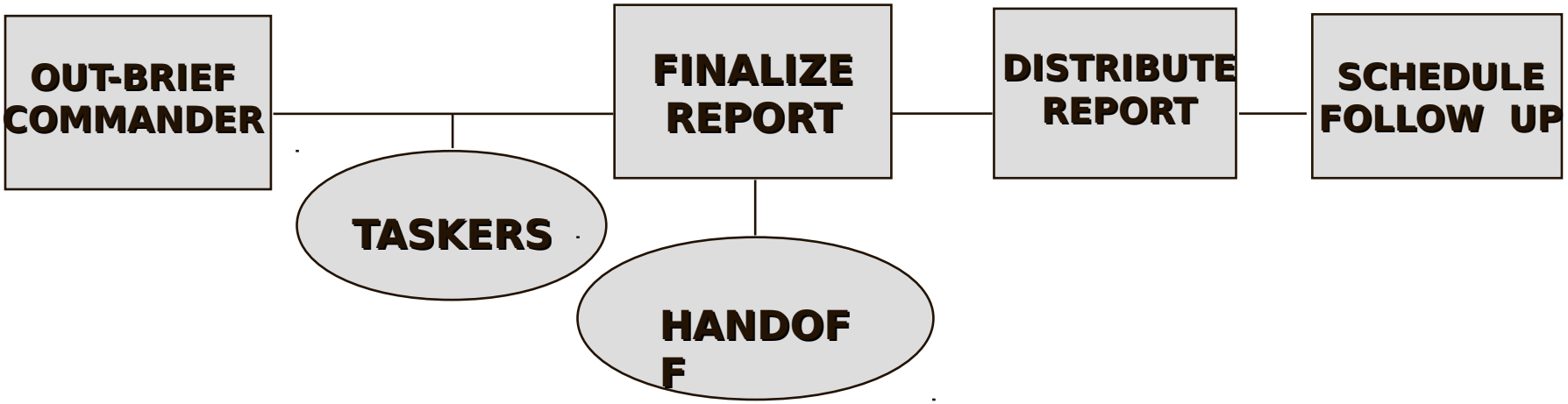


The Inspections Guide, Section 4-3

The Inspections Process

Inspections Process

Phase Three: The Completion Phase

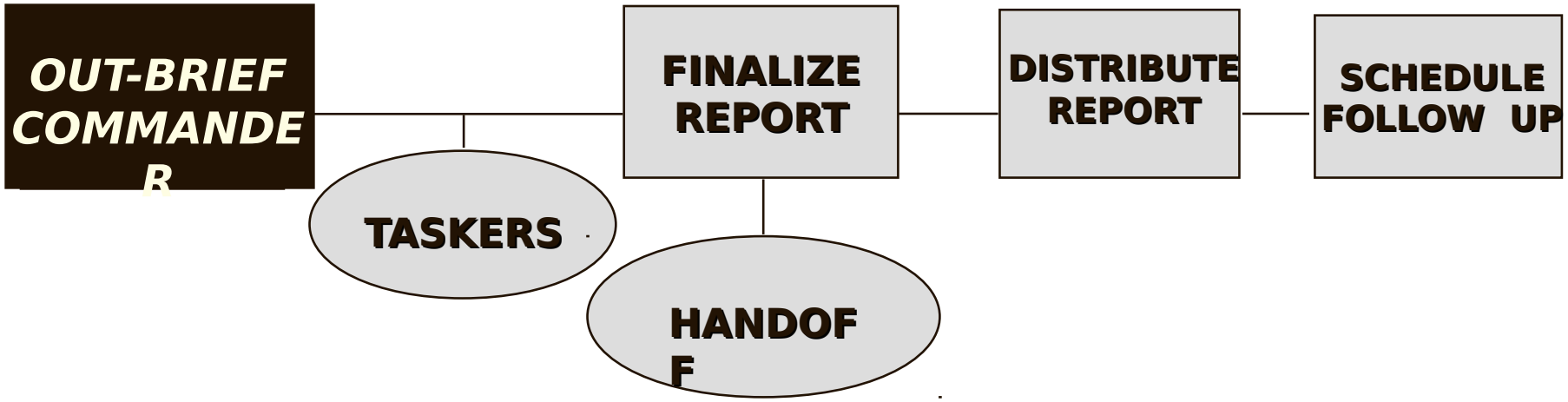


The Inspections Guide, Section 4-4

Out-Brief Commander

Inspections Process

Phase Three: The Completion Phas



The Inspections Guide, Section 4-4, page 4-4-2

Out-Brief the Commander

Inspections Process

- **Develop a formal briefing to present the results of your inspection to the Commander.**

- **Schedule the briefing to include the proponents and other interested staff members.**

- **You must know your findings well and be able to speak in support of them. *You may be telling the Commander some bad news that he or she does not want to hear!***

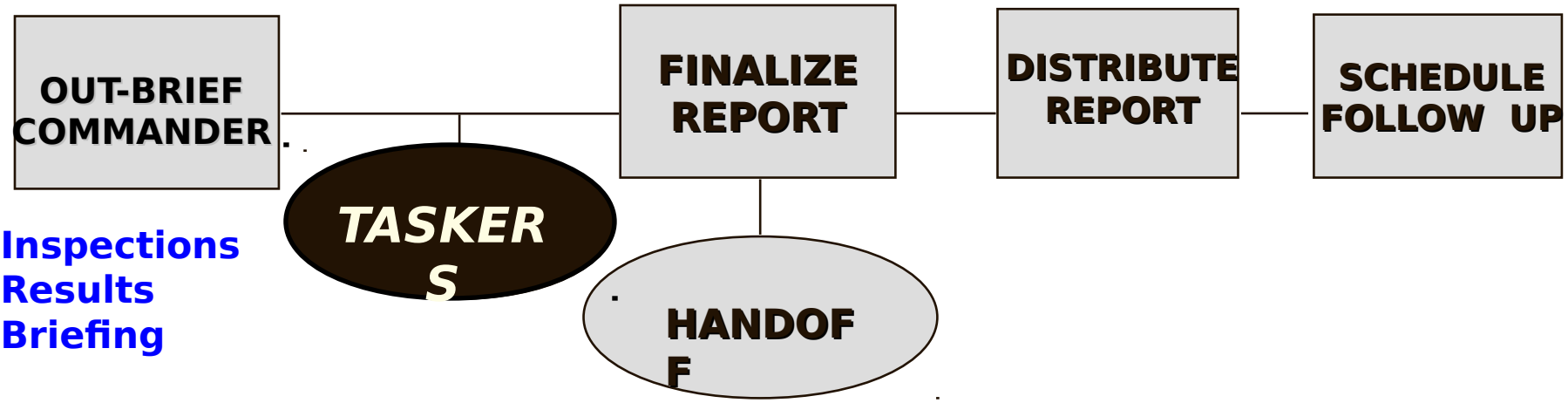
- **Address the results of your proponent out-briefings and discuss any non-concurrence issues.**

- **Request the Commander's approval of the report following the briefing.**

Taskers

Inspections Process

Phase Three: The Completion Phas



The Inspections Guide, Section 4-4, page 4-4-3

Taskers

- **The individuals or staff agencies you listed in your recommendations will receive taskers to initiate the actions required to fix the problems.**

- **The IG's role is to monitor the assignment of a tasker and to be aware of each tasker's completion.**

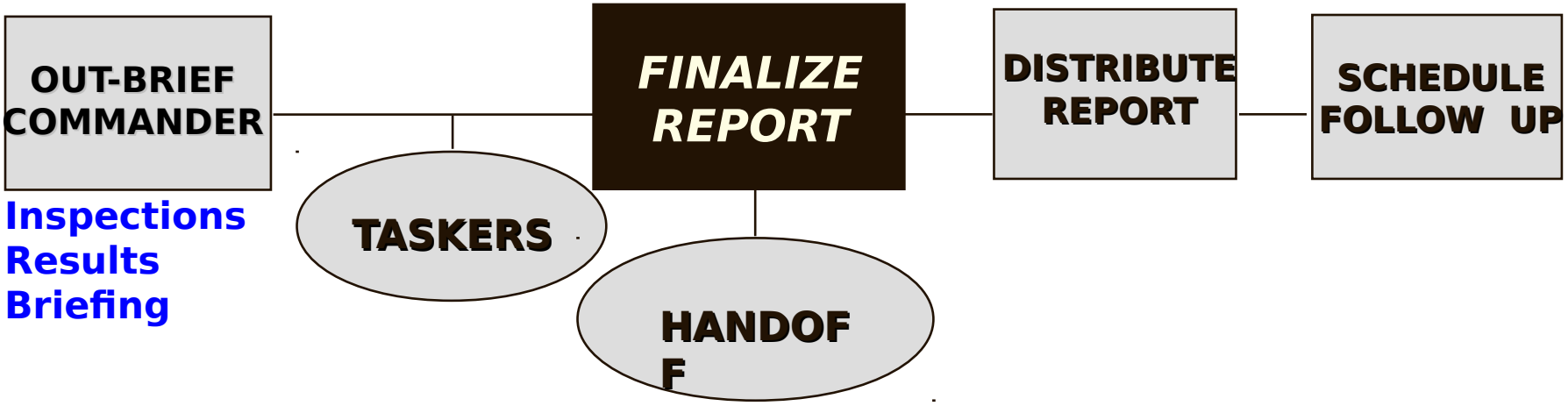
- **The IG is not a tasking authority. The Commander, Chief of Staff, or G-3 should handle the taskers.**

- **Be prepared to work with the staff agencies or individuals tasked to help them solve the problem.**

Finalize Report

Inspections Process

Phase Three: The Completion Phase



The Inspections Guide, Section 4-4, page 4-4-4

Finalize Report

- **Revise or adjust the Final Report based upon the Commander's guidance or feedback.**

- **Develop a cover letter for the Commander's signature that outlines his or her approval of the final report's results. *This cover letter will become the first page of the report.***

- **Submit a copy of the report to the Commander for review and for his or her signature on the cover letter.**

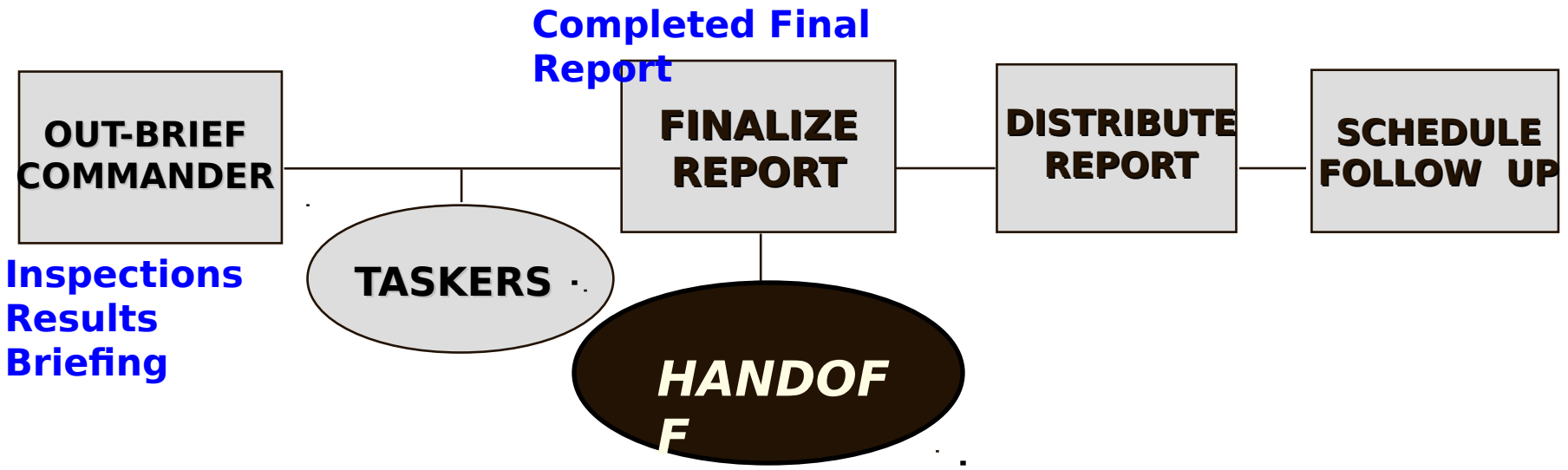
- **Conduct a final edit of the report to ensure accuracy and correctness.**

- **Ensure that the report does not name names or mention units! Confidentiality is important!**

Handoff

Inspections Process

Phase Three: The Completion Phase



The Inspections Guide, Section 4-4, page 4-4-5

Handoff

ELO

- **Handoff is the transferring of a verified finding to a higher-level agency or command that can correct the problem.**

- **Handoff occurs only when your Commander and staff cannot fix the problem at their levels.**

- **Handoffs can occur through the IG Technical Channels or Command Channels – or both!**

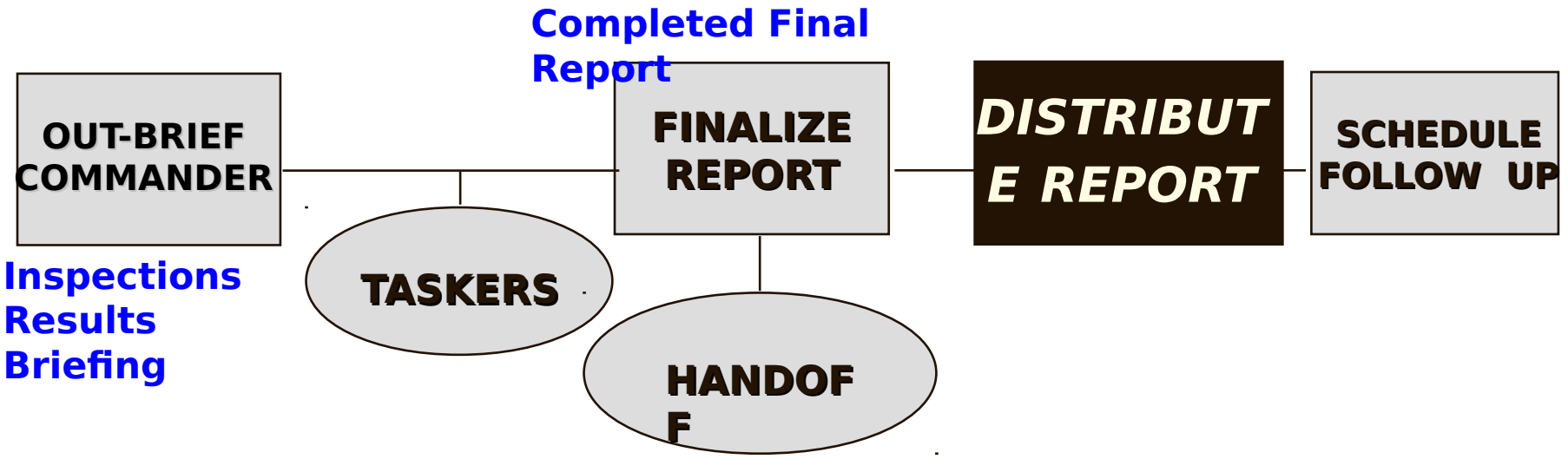
- **If you receive a handoff from a subordinate unit, treat the handoff as a request for assistance with the appropriate priority.**

- **Always monitor the progress of a handoff so that you can keep your Commander informed.**

Distribute the Report

Inspections Process

Phase Three: The Completion Phase



The Inspections Guide, Section 4-4, page 4-4-6

Distribute the Report

Inspections Process

- **Distribute copies of the Final Report – at a minimum – to your commander, primary staff members, and any individual or agency named in your recommendations.**

- **Share the Final Report with those units or agencies whom you think might benefit from the results – both within and outside your command.**

- **Since you are releasing IG records outside IG channels, each page of the Final Report must have the following footer:**

FOR OFFICIAL USE ONLY. This Document contains information
Dissemination is prohibited except EXEMPT FROM MANDATORY
as authorized by AR 20-1. DISCLOSURE under the FOIA. Exemption 5 applies.

Inspection Reports

ELO

Inspections Process

Upon the commander's approval of the inspection report, AR 20-1 allows local IGs to release written inspection reports for official use as long as the report meets the following criteria:

Inspection Reports

- Redacted of unit or individual information
- Not used for adverse action
- Not used to compare commands and commanders
- Contains appropriate markings

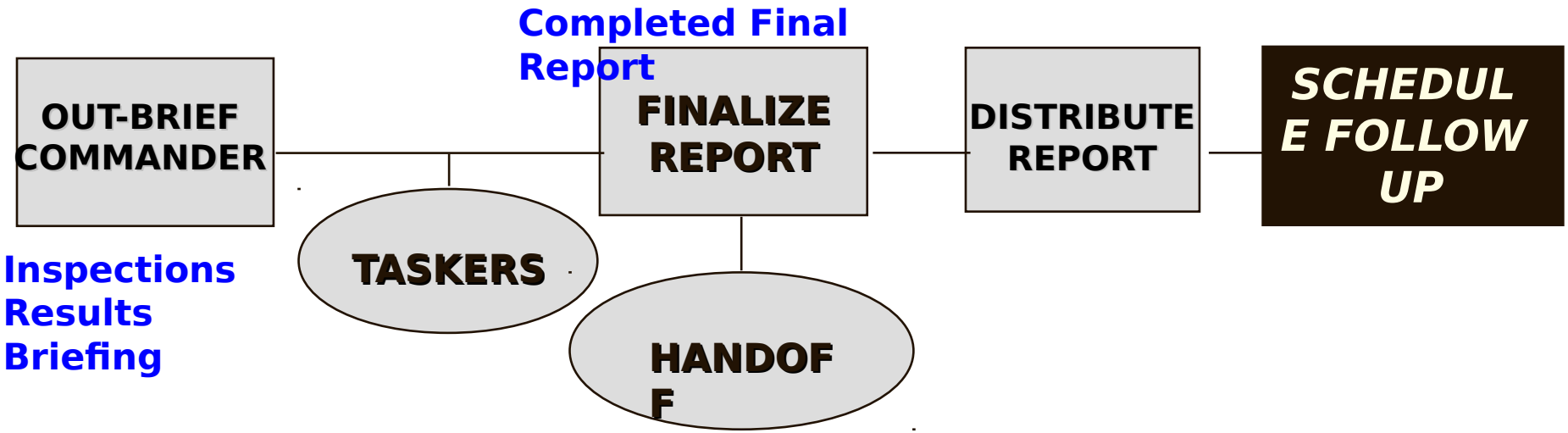
Otherwise, TIG is the Release Authority for the IG records

AR 20-1, Paragraph 3-6

Schedule Follow Up

Inspections Process

Phase Three: The Completion Phase



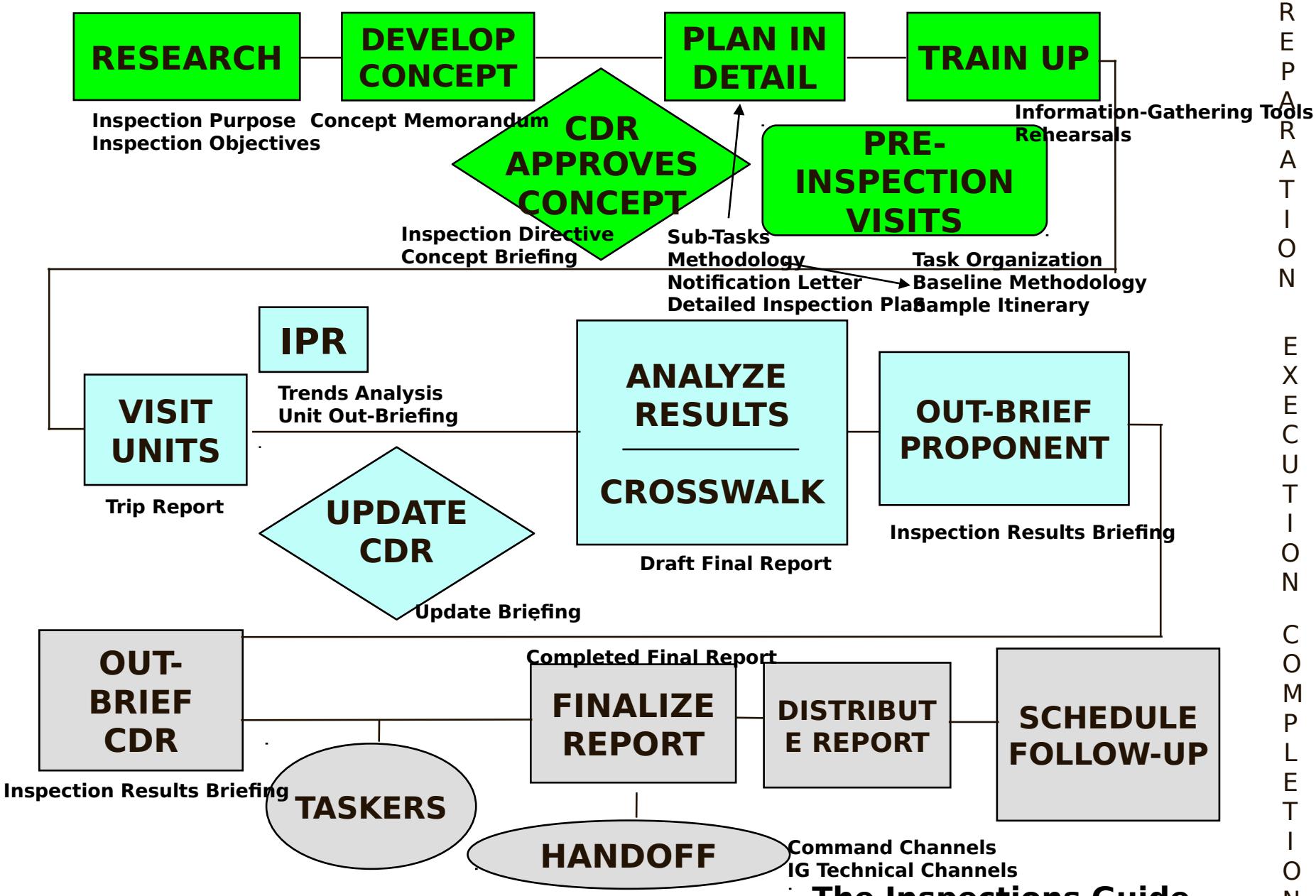
The Inspections Guide, Section 4-4, page 4-4-7

Schedule Follow-Up Inspections

Inspections Process

- **An inspection is not complete if the inspecting agency does not follow-up to determine if the necessary corrective actions have occurred.**
- **Follow-up is an important inspection principle that applies to all Army inspections.**
- **You can follow-up an inspection using four different methods:**
  - **Follow-Up Inspection: This method is the most effective but is also the most resource intensive.**
  - **Follow-Up Visit: Visit the individuals or agencies responsible for the corrective action to determine their progress.**
  - **Telephone: The same as a visit but not in person.**
  - **Request for a Reply by Endorsement (RBE): A request for a RBE is not necessary due to the effort required in producing such a response. Request RBEs as an exception to the rule.**

The Inspections Process



The Inspections Guide,

Inspections Process During Wa

Inspections Process

- **The current wartime environment is creating a number of systemic issues requiring IG attention.**
- **Inspections of systemic issues have a great impact on the readiness and warfighting capability of the organization.**
- **A special IG inspections process to accommodate the flurry of inspections does not exist.**

~~"Quick Look"~~ ~~"Short-Fused"~~

- **The IG must analyze the situation based on personnel, time, and other constraints and identify what parts of the inspections process to compress if necessary.**

Compressed IG Inspection

ELO

Inspections Process

- **IGs can tailor The Inspections Process to remain responsive to the resource and time constraints of a deployed and operational environment.**

- **IGs must adapt the process as necessary – a limited Compressed IG Inspection will mean that you vary, adjust, and limit the inspected population. IGs may compress some steps while combining others but will follow each phase of the process!**

- ***Remember to adhere to the five inspection principles outlined in AR 1-201!***

The Inspections Guide, Section 8-2

Compressed IG Inspection
Associated Risk

IG Impact:

- **Small population size could affect validity of results.**
- **Omitting process steps may breach inspection principles.**
- **Limited information-gathering domains may not fully answer inspection objectives and identify root causes**

Command Impact:

- **Less ability to generalize the results to entire command.**
- **Readiness / operational decisions made on limited data.**

Compressed IG Inspection
The Preparation Phase

Inspections Process

- **Research will be hasty, but thorough, and based upon available commander's guidance / intent, references, information, and subject-matter experts. *Objectives are essential to narrow your focus!***

- **You can easily combine the Develop Concept and Commander Approves Concept steps. Draft a simple desk-side, oral briefing to the commander. *It is still essential that you can get a written Directive.***

- **Plan in Detail by developing the minimum number of Sub-Tasks necessary. A simple methodology that only includes a task organization and sample itinerary will suffice.**

Compressed IG Inspection
The Preparation Phase (continued)

Inspections Process

- **Notification can occur via landline telephone, radio, or some other expeditious means.**

- **Develop a Detailed Inspection Plan that outlines only the most essential parts of the inspection. (At a minimum: objectives, inspected units, dates and times of visits, approach, interview requirements, required documents and itineraries, and basic timeline.)**

- **Train-up as an inspection team by developing only the most necessary information-gathering products such as**

Compressed IG Inspection

The Execution Phase

Inspections Process

- **When Visiting Units, spend only the time necessary to gather the information you need. Multiple inspection teams will help compress this step.**
- ***Be quick, be thorough, and be discreet!***
- **Write Trip Reports that capture only the essential information related to the Sub-Tasks and Objectives.**
- **If necessary, omit In-Process Reviews and formal unit out-briefings to save time.**
- **Recommend during the Commander Approves Concept step to omit the Update**

Compressed IG Inspection

The Execution Phase (continued)

- **The team should consider Cross-walking only those critical bits of information that demand verification.**

- **Final draft of the report may be in memorandum format. Don't take shortcuts in the nine-step process to develop and write a five-paragraph Findings Section for each Sub-Task. The accuracy of the Findings Statements, the root causes, and recommendations are critical.**

- **Out-brief the Proponents only if time permits. Invite proponent members to the**

Compressed IG Inspection

The Completion Phase

Inspections Process

- **Out-brief the Commander in the most expeditious and efficient manner possible (desk-side, in the Tactical Operations Center, etc.)**
- **Provide the approved results to the Chief of Staff so the G-3 can assign Taskers immediately.**
- **Distribute the Report to subordinate commanders and proponents immediately for action as necessary.**
- **Conduct Handoff if practical, but focus on the problems you can fix at your level first.**
- ***Follow up quickly and aggressively, but***

Inspections Process Review

- **What are the phases of the inspections process?**
- **What are the five information gathering domains?**
- **What is the purpose of the in-process review?**
- **What is cross-walking?**
- **What are the five parts of the finding section?**
- **What is handoff?**

Footer Data
The Inspections Guide, page 4-4-6